

Request for Applications

RFA # A-181



North Carolina Rape Prevention and Education (RPE) Program

FUNDING AGENCY: North Carolina Department of Health and Human Services
Division of Public Health
Chronic Disease and Injury Section
Injury and Violence Prevention Branch

ISSUE DATE: April 1, 2009

IMPORTANT NOTE: Indicate agency or organization name and RFA number on the front of each application envelope or package, along with the date for receipt of applications specified below.

Letters of Intent to Apply are due by 5:00 P.M. on April 24, 2009

Applications will be received until 5:00 PM on May 26, 2009.

Electronic copies of the application are available by request.

Send all applications directly to the funding agency address shown below.

Direct all inquiries concerning this RFA to:

Mailing Address:

Ingrid Bou-Saada, MA, MPH
Public Health Program Consultant
NC DHHS, Division of Public Health
Injury and Violence Prevention Branch
1915 Mail Service Center
Raleigh NC 27699-1915

Street/ Hand Delivery Address:

Ingrid Bou-Saada, MA, MPH
Public Health Program Consultant
NC DHHS, Division of Public Health
Injury and Violence Prevention Branch
5505 Six Forks Rd., Bldg. 1, 3rd Floor, Room A17
Raleigh, North Carolina 27609-3809

TABLE OF CONTENTS

I. INTRODUCTION	3
II. BACKGROUND	5
PUBLIC HEALTH APPROACH, THE ECOLOGICAL MODEL, AND THE PRIMARY PREVENTION OF SEXUAL VIOLENCE	
III. SCOPE OF SERVICES	7
APPLICANT ELIGIBILITY	7
FUNDING LEVELS AND BUDGET PREPARATION	7
Eligible Expenses	8
Ineligible Expenses	9
Requirements for Local Programs to Receive Funding	10
SCOPE OF WORK	11
SCOPE OF WORK AND APPLICATION FORM FOR AGENCIES THAT <u>HAVE NOT RECEIVED</u> RPE FUNDS FROM 2006-2009	11
Deliverables to Complete by the End of Year 1 (by October 31, 2010)	12
Deliverables to Complete by the End of Year 2 (by October 31, 2011)	12
SCOPE OF WORK AND APPLICATION FORM FOR AGENCIES THAT <u>HAVE RECEIVED</u> RPE FUNDS FROM 2006-2009	13
Deliverables to Complete by the End of Year 1 (by October 31, 2010)	13
Deliverables to Complete by the End of Year 2 (by October 31, 2011)	14
IV. GENERAL INFORMATION ON SUBMITTING APPLICATIONS	16
V. APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW	19
VI. APPLICATION FORMS	21
APPLICATION FORM FOR AGENCIES	24
THAT <u>HAVE NOT RECEIVED</u> RPE FUNDS FROM 2006-2009	
APPLICATION FORM FOR AGENCIES	32
THAT <u>HAVE RECEIVED</u> RPE FUNDS FROM 2006-2009	
VII. APPLICATION CHECKLIST	42
VIII. APPLICATION FACE SHEET	43
APPENDICES AND ATTACHMENTS	44

I. INTRODUCTION

The mission of the North Carolina Injury and Violence Prevention Branch (IVPB) is to define and address the major statewide issues of injury and violence prevention. The desired impact of the IVPB is to reduce morbidity and mortality caused by injury and violence, and the ultimate vision of the Branch is a North Carolina free from injuries and violence where people can live to their full potential. One form of violence that takes a large toll on health and well-being is sexual violence. National data indicate that as many as 1 in 6 women and 1 in 33 men experience rape or attempted rape at least once in their lifetimes,¹ while many more experience some other form of sexual violence such as harassment, peeping, threats, and other behaviors. According to an analysis of the 2000-02 NC Behavioral Risk Factor Survey data, about ten percent of North Carolina women report experiencing sexual violence after the age of 18². About 38% were assaulted by partners or spouses, 15% by acquaintances, and 16% by strangers. The number experiencing sexual violence is likely much higher, since the stigma associated with sexual violence continues and leads to significant under-reporting. According to the NC Council for Women and Domestic Violence Commission, the 75 rape crisis centers across North Carolina served 6,527 victims of sexual assault, and received 22,671 crisis calls between April 2007 and March 2008³. The prevalence of sexual violence and the consequences to victims, their families and friends, and to society make sexual violence a serious public health problem in North Carolina.

The IVPB receives and administers federal funds for the Rape Prevention and Education (RPE) Program. The majority of the funds will be awarded to local agencies and organizations to provide sexual violence primary prevention education and training in local communities. Funds will also be awarded to the North Carolina Coalition Against Sexual Assault (NCCASA) to provide training, technical assistance, and tools to support local agencies/organizations in their prevention activities.

The Rape Prevention and Education Program is funded by the Federal Crime Bill, with funds awarded through the Centers for Disease Control and Prevention (CDC) to all 50 states, Washington DC, Puerto Rico, and six territories according to a population based formula. At the Federal level, the CDC project is delineated in five-year time periods; however, this RFA is seeking applications only for the final two years of the current five-year project period. Federal legislation specifies the major areas of activities for preventing rape and sexual assault allowed under this grant, and the CDC has set program priorities and provided guidance to all states and territories for implementing the program. CDC expects all RPE programs at both the state and local levels to use a public health approach; to undertake planning, including a comprehensive assessment of community needs and assets; to perform program evaluation; and to focus on primary prevention – preventing initial sexual violence perpetration and victimization.

¹ Tjaden P, Thoennes N. *Extent, Nature, And Consequences Of Intimate Partner Violence: Findings From The National Violence Against Women Survey*. Washington (DC): Department of Justice (US); 2000. Publication No.: NCJ 181867. Available from URL: www.ojp.usdoj.gov/nij/pubs-sum/181867.htm.

² Martin, SL, Chan R, and Rentz ED. *Physical and Sexual Violence in North Carolina: Prevalence and Descriptive Information from the 2000-2002 Surveys of the North Carolina Behavioral Risk Factor Surveillance System*. Raleigh, NC: NC Department of Health & Human Services, Division of Public health, Injury & Violence Prevention Branch, Feb. 2005.

³ NC Council for Women and Domestic Violence Commission. *Statistical Bulletin 2007-2008*. Available from URL: <http://www.nccfwdvc.com/documents/stats/2007-2008StatisticalBulletin.pdf>.

The goal of the Rape Prevention and Education (RPE) program in North Carolina is to reduce the incidence of rape and sexual assault in the state. The means to achieve this goal include providing a broad array of primary prevention focused educational services that reach specific professional groups and the public including children, adolescents, and adults. The best means to providing these prevention strategies is at the local or community level so that programs may be tailored to meet the needs of each particular community and the populations served.

This RFA is being released to recruit qualified agencies and organizations to carry out assessment, planning and primary prevention activities as part of the NC Rape Prevention and Education Program. The RFA is open to organizations and agencies that can provide this service. Up to the following contract amounts will be made available to support RPE Program activities during the two fiscal years of this project:

November 1, 2009 – October 31, 2010	\$60,000
November 1, 2010 – October 31, 2011	\$60,000 (anticipated)

The final amount of each annual award will depend upon the proposal submitted by the applicant and upon the total funds received by the IVPB from CDC each year. The successful applicant will enter into a two-year project period with the IVPB; however, a contract will be awarded for one year at a time, renewable at the end of Year 1 if performance is acceptable and Federal funds are available. Another RFA will be issued for funding that begins in 2011, the end of this two-year time period. Agencies receiving funding for Years 1 and 2 (as a result of this current RFA) may submit applications for further funding at that time. In general, each agency or organization may apply for only one RPE award in response to a given RFA; however, when an umbrella organization houses several agencies in separate counties, each county agency may apply for one award. No assurances can be provided at this time about the level of funding North Carolina receives for this project period or about the continued availability of RPE funds beyond the end of the two-year period (October 31, 2011).

II. BACKGROUND

North Carolina recognizes sexual violence as a serious public health problem. The NC Office of Healthy Carolinians, which sets North Carolina's 2010 Health Objectives, addresses this problem with objectives to reduce sexual assault and to increase the number of victims seeking and receiving services. The Division of Public Health's Injury and Violence Prevention Branch (IVPB) is a leader in statewide efforts to prevent sexual violence with a long history of addressing all forms of violence against women.

The IVPB manages a core Rape Prevention and Education (RPE) Program that has been administering funds for many years primarily to local rape crisis centers to provide prevention and education activities in communities across the state. In the past, sixty-eight (68) local rape crisis centers received equal funding (i.e., each agency received the same amount of money) through a non-competitive process. The North Carolina Coalition Against Sexual Assault (NCCASA) also receives funds to provide statewide support for prevention education programming. The North Carolina program has been undergoing intensive strategic planning efforts, both in-state and in conjunction with the CDC, and as such, the program direction, priorities, structure, and funding have changed in significant ways beginning with the first competitive RFA released in 2006. The current RFA incorporates further changes based on lessons learned by IVPB program staff during the first competitive program period from 2006-09, as well as input received from numerous stakeholders.

The IVPB recognizes that such a significant program redirection takes time and much support (by way of training, technical assistance, and tools) in order to be successful. The recipients of RPE funding during the 2006-09 project period were the first group that provided programming under these new program requirements, and the successes, challenges, and lessons learned while implementing sexual violence primary prevention strategies have informed the content and direction of the upcoming funding cycle as well as planned training and technical assistance. Applicants are not expected to demonstrate mastery in every aspect of the concepts described in this RFA (e.g., primary prevention, public health approach, ecological model, evaluation, etc.) in order to receive funding; however, applicants will be required to demonstrate a commitment to the current direction of the program, as described herein, to the overall assessment and planning process, to the required training, and to share lessons learned with other RPE-funded programs.

PUBLIC HEALTH APPROACH, THE ECOLOGICAL MODEL, AND THE PRIMARY PREVENTION OF SEXUAL VIOLENCE

According to the World Health Organization, sexual violence is defined as "any sexual act, attempt to obtain a sexual act, unwanted sexual comments or advances, or acts to traffic, or otherwise directed, against a person's sexuality using coercion, by any person regardless of their relationship to the victim, in any setting, including but not limited to home and work".⁴

⁴ Krug EG et al., (eds) *World Report on Violence and Health*. (p. 149). Geneva: World Health Organization, 2002; Available at URL: http://www.who.int/violence_injury_prevention/violence/world_report/en/.

The CDC and the IVPB promote the use of a public health approach in the efforts of eliminating sexual violence. This approach is population-based (rather than focusing on an individual); uses data-informed, evidence-based practices to the greatest extent possible; conducts evaluation to ensure effective programming; emphasizes collaborative activities; strives for cultural competency; and focuses on prevention, especially primary prevention.

All applicants should pay particularly close attention to the CDC publication *Sexual Violence Prevention: Beginning the Dialogue* (referred to as “*Beginning the Dialogue*” throughout the rest of this RFA), which is included in Appendix 3 and is also available online at no cost at <http://www.cdc.gov/ncipc/dvp/SVPrevention.htm>. This publication provides an introduction to CDC’s vision for the primary prevention of sexual violence and will serve as a framework for program activities. Many of the concepts and examples of program activities described below are excerpted from *Beginning the Dialogue*.

The Rape Prevention and Education Program emphasizes primary prevention by using approaches that take place before sexual violence occurs to prevent initial perpetration or victimization. This is in contrast to secondary prevention (e.g., crisis responses after sexual violence occurs to deal with short-term consequences) and tertiary prevention (e.g., long-term responses after sexual violence occurs to deal with lasting consequences).

The Rape Prevention and Education Program utilizes a four-level ecological model to better understand the root causes of sexual violence and to recognize and develop potential points of prevention. The ecological model is a way to describe violence in terms of the complex interaction of four levels of influence, including individuals, interpersonal relationships, the community, and the society levels. For a clear description of each level of the ecological model and examples of sexual violence prevention programs targeting each level, see *Beginning the Dialogue* (Appendix 3).

The public health approach specifies that programs should use evidence-based strategies (see *Beginning the Dialogue* in Appendix 3). In the field of violence prevention, especially sexual violence prevention, there is little scientific evidence showing how well strategies work. In order to help build the base of evidence, *training and technical assistance on process evaluation* (i.e., how the program was implemented) and *outcome evaluation* (i.e., how effective the program was in changing the knowledge, attitudes, beliefs, and behaviors of the participants) *will be provided to all local RPE awardees*. Local awardees will be expected to build process and outcome evaluation into their programs over the course of this two-year project period. Advocates and service providers have worked over the years to make a positive difference in the lives of the individuals they work with and their communities. We want to build on this impressive history of the anti-sexual violence movement as we move forward with more comprehensive primary prevention efforts. It is critically important for the RPE Program to incorporate evaluation processes so that the limited available resources can be used to build effective primary prevention efforts and to eliminate activities that do not assist the program in meeting the goal of ending sexual violence.

III. SCOPE OF SERVICES

The purpose of this Request for Applications is to solicit applications from qualified agencies and organizations to undertake activities as part of the North Carolina Rape Prevention and Education program.

APPLICANT ELIGIBILITY

Only private, non-profit organizations, public or local governmental agencies, and local health departments, whose mission and history clearly demonstrate a commitment to prevent sexual violence, may apply.

- Applicants that previously have and have not received RPE funds are invited to submit applications as long as they meet all the requirements described herein.
- As described in the specific application forms, each applicant will be required to demonstrate a commitment to the prevention of sexual violence by submitting their agency/organizational mission statement, examples of on-going or completed activities focused on sexual violence prevention, and examples of ways the agency/organization is viewed as a leader in the field of sexual violence prevention in the community it serves.
- In addition, applicants will need to demonstrate a clear ability to respond to sexual violence disclosures or requests for help that might be made by participants during prevention activities. RPE funding does not and will not provide any support (direct or in-kind) to services or crisis response; however, it is vital that awardees have crisis response mechanisms in place in order to sensitively and appropriately assist any participant in need of such services. This may be accomplished either in-house (by a different staff person with non-RPE funding) or through a very close link to the local rape crisis center in that community (demonstrated via a memorandum of understanding with the rape crisis center). The review committee reserves the right to contact the rape crisis center listed in this Memorandum of Understanding and ask about the history of their working relationship with the applicant. College or university applicants may alternatively demonstrate a link to other campus counseling services that provide an appropriate response to sexual violence disclosures. Additionally, the staff member who will serve as the Prevention Coordinator must complete victim advocate training, if they have not already done so, in order to be able to provide the first level of response to any disclosures before referring the individual to other staff or another agency for further services.

FUNDING LEVELS AND BUDGET PREPARATION

All applicants, regardless of funding status during 2006-09, should prepare a budget that is no less than \$40,000/year and no greater than \$60,000/year. Requested budget amounts should be realistic, and agencies should be prepared to use ALL the funds awarded them in each of the two years.

Awardees receiving Rape Prevention and Education funds are required to maintain a full-time Prevention Coordinator dedicated at 100% effort (1 FTE) to the RPE program. The Prevention Coordinator will provide first response to any disclosures of sexual violence made by a participant

in the prevention programming before referring the participant to other staff or resources for further crisis services. Only rarely when no other staff is available, may the Prevention Coordinator step in to respond to a crisis visit or call that did not develop out of prevention activities; however, the Prevention Coordinator should not be scheduled to work crisis shifts or to carry the agency beeper and be “on call.” We acknowledge that in small agencies, doing some crisis work may be necessary, but we also stress that crisis work beyond immediately responding to a disclosure during prevention work should be a rare part of the Prevention Coordinator’s job duties. This award will fund only one individual staff member – the position cannot be divided among more than one staff member, and the RPE Prevention Coordinator may not be supported by any other funding source besides RPE. Applicants also **may** choose to support the salary of the Prevention Coordinator’s supervisor for up to 10% effort (.1 FTE). There will be no flexibility with these personnel requirements.

Eligible Expenses

RPE funds may be used for the following allowable expenses:

- Salary to support one full-time Prevention Coordinator dedicated 100% to RPE
- Fringe Benefits for the full-time Prevention Coordinator
- Salary for the Prevention Coordinator’s supervisor, not to exceed 10% of overall salary
- Fringe Benefits for the Prevention Coordinator’s supervisor, not to exceed 10% of overall fringe benefits
- Travel, which will include the costs of in-state travel for the Prevention Coordinator during each year for the following:
 - 3 required trainings: sites will be determined based upon location of awardees. In the budget, applicants need to provide only an estimate of travel expenses using round-trip mileage to Raleigh as the basis for estimates and factoring in per diem and a hotel, if necessary; the actual cost will be negotiated during the contracting process. (Prevention Coordinator is required to attend all three trainings, the supervisor is welcome to attend)
 - 1 trip to Raleigh for an Annual Grantee Meeting to consult with state project staff and/or meet with other awardees. (Both the Prevention Coordinator **and** his/her supervisor are required to attend the Annual Grantee Meetings)
- Travel expenses may include mileage, lodging, and subsistence up to the official rate set forth by the state of North Carolina (see the Budget section of the application forms for current rates). Applicants may choose to reimburse staff at a lower rate, but may not exceed established state rates
- Communications: List costs including telephone, internet, e-mail and other communications related to project and associated unit costs
- Supplies: supply costs associated with prevention programs and activities
- Postage: postage costs associated with prevention programs and activities
- Equipment: necessary equipment associated with prevention programs and activities (note that requests >\$500 require state pre-approval)
- Incentives: RPE funds may be used to purchase program participation incentives as long as such incentives are not cash or cash-like (e.g., gift certificates, gift cards).

- Other: all other pre-approved operational costs associated with conducting proposed prevention programs and activities

Applicants are required to provide a budget and an explanatory budget narrative for Year 1 of this two-year project. Expenses and activities for Year 2 will be negotiated in a contract amendment completed during Year 1 if performance is satisfactory.

Ineligible Expenses

The following are ineligible expenses and should not be included in the grant application. These are listed to assist applicants in understanding the focus of the RPE funds.

- Victim Services/Response: These funds may not be used for direct victim service activities. This includes crisis lines or hotlines, crisis intervention, case management, advocacy, counseling, support groups, and community outreach efforts in support of direct client services. The only exception is the Prevention Coordinator handling disclosures during prevention activities or **on rare occasions** handling a crisis call when no other staff are available. RPE funds are dedicated to primary prevention, not victim response.
- Offender Treatment: These funds may not support offender treatment programs. The focus of RPE will be on preventing first-time perpetration, NOT on offender treatment for the purpose of preventing repeat perpetration.
- Victim Response Training: These funds **may not be used** for training that focuses on how service providers should respond to victims of sexual violence (e.g., advocates, Sexual Assault Nurse Examiner (SANE) programs, law enforcement or judicial response, etc.). EXCEPTION: if the Prevention Coordinator has not received previous training in victim response, funds may be used to cover the expenses related to providing such training upon hiring the Prevention Coordinator so that s/he may appropriately respond to a disclosure that might arise during prevention activities. Funds may not be used for such victim response training in an ongoing manner after the initial training of the Prevention Coordinator, and funds may not be used to support victim response training for any other agency staff member.
- Child Abuse Prevention: These funds may not be used for activities focusing solely on the prevention of child abuse.
- Child Sexual Abuse Prevention Programs: These funds may not be used for programs that teach children about sexual abuse in ways that make them responsible for preventing their own abuse (e.g., teaching “touching rules” and encouraging children to say “no” and report abuses). Rather, the RPE program is working to prevent perpetration from happening in the first place and to shift the onus of prevention onto the community as a whole.
- Victim Compensation: These funds may not be used to pay for costs that would otherwise be eligible for local or federal Victim Compensation reimbursement.
- Lobbying, Legislative and Administrative Advocacy: These funds may not be used for the expenses of lobbying for particular victim legislation, systems improvement, or administrative reform, whether conducted directly or indirectly.
- Fundraising: Any cost of fundraising is ineligible for funding. The cost of organized

fundraising (including bingo, financial campaigns, endowment drives, solicitation of gifts and bequests) incurred solely to raise capital or obtain contributions may not be charged to these funds. Likewise, the salary (or portion thereof) of persons engaged in such activities and indirect costs associated with those efforts are ineligible.

- Food/Refreshments: Federal rules do not allow RPE funds to be used for food expenses, except on a per diem reimbursement basis during staff travel, therefore these expenses are disallowed. **Food for meetings and other events MAY NOT be purchased using RPE funds.**

Requirements for Local Programs to Receive Funding

All applicants must adhere to the following guidelines in order to be considered for funding. Additionally, all funded programs must continue to demonstrate adherence to these guidelines throughout Year 1 in order to be considered for continuation funding (via a contract amendment) in Year 2.

1. The funded agency/organization must demonstrate training, expertise, and experience in sexual violence prevention. The history of doing prevention work does not need to be exclusively primary prevention; however, the applicant must indicate a commitment to shift towards an increasing amount of primary prevention throughout the project period.
2. The funded agency/organization shall identify a full-time Prevention Coordinator who will spend 100% effort exclusively on RPE. This individual may already work for the agency or may be a new hire. Applicants are strongly encouraged to carefully consider the qualifications and skills needed to fulfill the role and duties of the Prevention Coordinator as described throughout this RFA (see Appendix 4) for a sample job description that provides examples of the qualities and duties of a good Prevention Coordinator). The full-time position may only be filled by one individual. The funded agency/organization also may choose to include in the submitted budget up to 10 % support (salary and fringe benefits) for the Prevention Coordinator's supervisor.
3. The Prevention Coordinator is required to attend all three (3) training sessions and the annual RPE Grantee Meeting to be held in Raleigh, NC in Year 1. Travel expenses for all three trainings and the 1 Annual Grantee Meeting must be written into the proposed RPE budget. The Prevention Coordinator's supervisor is welcome to attend any or all three trainings, and travel support to cover his/her expenses may be written into the budget. The Prevention Coordinator's supervisor is required to attend the Annual Grantee Meeting, and travel expenses must be included in the budget. Further information regarding training in Year 2 will be provided to funded programs and will be negotiated in a contract amendment.
4. The funded agency/organization must agree to implement primary prevention programs and to use the public health approach and the ecological model in creating their prevention strategies. They shall incorporate the Nine Principles of Effective Prevention Programming (see Appendix 2) as they plan and conduct prevention activities during the project period. This will be achieved with assistance provided by the IVPB staff in the form of training, technical assistance, tools and other types of guidance.

5. The funded agency/organization must develop and implement both process and outcome evaluation for all prevention activities and must develop a project logic model that visually describes the program (training, technical assistance, and tools will be provided to all awardees over the course of the two-year project period).
6. The funded agency/organization should demonstrate a history of working with community partners and must indicate a willingness to continue to do so throughout this project period. With the complexity of sexual violence, its causes, and the needed comprehensive strategies to effectively prevent it, no single agency will be able to fully implement all aspects of RPE in isolation. The Prevention Coordinator will identify community stakeholders with an interest in sexual violence prevention to serve as a local prevention team. Applicants will be encouraged to build relationships with both traditional and non-traditional partners on all aspects of their RPE efforts. Appendix 5 includes information about some suggested partners to invite to the prevention team. Further guidance on the composition of the local prevention team and the activities it will undertake will be provided to awardees throughout the course of Year 1.

SCOPE OF WORK

The requirements for the current RFA vary depending on the applicant's status as either a "new applicant" (i.e., having received no RPE funds during the 2006-09 funding cycle) or as a currently funded program (i.e., receiving funds during the 2006-09 funding cycle). It is important to pay attention to this difference, to find and utilize the correct application form, and to speak to the content and requirements of the correct application process. Information for new applicants who have NOT received RPE funds during 2006-09 is located on pages 11-12 and the application form begins on page 24. Currently funded RPE programs should turn to pages 13-15 for information and use the application that begins on page 32.

SCOPE OF WORK FOR AGENCIES THAT HAVE NOT RECEIVED RPE FUNDS FROM 2006-2009:

In order to provide new programs an opportunity to receive training on the fundamentals of implementing the various requirements of the RPE Program and to provide ample time for the applicants to receive training and to complete an assessment of their communities, the first year of these contracts will be considered a **planning year**. By the end of the first year, all agencies shall propose a program plan for the second year that includes details about the populations they wish to reach, the prevention strategies they will utilize with these identified population(s), and the details for other requirements described below.

Deliverables to Complete by the End of Year 1 (by October 31, 2010):

1. Complete IVPB approved training about sexual violence and responding to victim disclosures, if the Prevention Coordinator does not already have a background working in the anti-rape movement.
2. Conduct a community assessment, including current program and community resources/assets, needs, prevention strategies, and collaborations related to sexual violence.

3. Strengthen and expand community collaborations to enhance the role of various community stakeholders in the prevention of sexual violence. This includes, but is not limited to, convening a Sexual Violence Prevention Task Force comprised of community organizations and individuals to assist with strategic planning for the primary prevention of sexual violence in a culturally and community competent manner.
4. Participate in three (3) mandatory trainings to be determined in conjunction with the IVPB (Prevention Coordinator is required to attend, and his/her immediate supervisor or executive director are welcome to attend).
5. Attend Annual RPE Grantee Meeting in Raleigh (Prevention Coordinator and his/her immediate supervisor are **both required** to attend).
6. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice.
7. Participate in cross-site evaluation with IVPB.
8. Identify two (2) populations to work with in Year 2 and potential sexual violence primary prevention strategies addressing each of those populations (either from a list to be provided by IVPB or by choosing another strategy with justification for why it is the best strategy for the particular population(s)). Chosen populations and strategies should be based on the results of the community assessment.
9. Identify at minimum a 5% match (5% of total requested funds), which can be met via cash, in-kind agreements, or a combination of both.

Deliverables to Complete by the End of Year 2 (by October 31, 2011):

1. Strengthen and expand the Sexual Violence Prevention Task Force to enhance the role of various community stakeholders (i.e., increase community ownership) in the prevention of sexual violence and conduct a process evaluation of the Task Force.
2. Participate in three (3) mandatory trainings to be determined in conjunction with the IVPB (Prevention Coordinator is required to attend, and his/her immediate supervisor or executive director is welcome to attend).
3. Attend Annual RPE Grantee Meeting in Raleigh (Prevention Coordinator and his/her immediate supervisor are **both required** to attend).
4. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice and to enhance the primary prevention focus of education and training provided by the Prevention Coordinator.
5. Participate in cross-site evaluation with IVPB.
6. Implement at least two (2) sexual violence primary prevention strategies/activities that adhere to the Principles of Effective Prevention Programs. No more than one (1) strategy can target the “individual level” of the ecological model [refer to pages 8-9 of *Sexual Violence Prevention: Beginning the Dialogue* in Appendix 3].
7. Develop a logic model for each of two sexual violence primary prevention strategies. (A logic model is a pictorial diagram that shows the relationship between program components and activities to desired outcomes).
8. Implement evaluation strategies at all levels of program activities (training and technical assistance will be provided).
9. Identify at minimum a 10% match (10% of total requested funds), which can be met via cash, in-kind agreements, or a combination of both.

SCOPE OF WORK FOR AGENCIES THAT HAVE RECEIVED RPE FUNDS FROM 2006-2009:

Deliverables to Complete by the End of Year 1 (by October 31, 2010):

1. Complete IVPB approved training about sexual violence and responding to victim disclosures, if the Prevention Coordinator does not already have a background working in the anti-rape movement.
2. Strengthen and expand community collaborations to enhance the role of various community stakeholders (i.e., increase community ownership) in the prevention of sexual violence. This includes, but is not limited to, maintaining a Sexual Violence Prevention Task Force comprised of community organizations and individuals to assist with, among other things, strategic planning for the primary prevention of sexual violence in a culturally and community competent manner.
3. Participate in three (3) mandatory trainings to be determined in conjunction with the IVPB (Prevention Coordinator is required to attend, and his/her immediate supervisor or executive director are welcome to attend).
4. Attend Annual RPE Grantee Meeting in Raleigh (Prevention Coordinator and his/her immediate supervisor are **both required** to attend).
5. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice.
6. Participate in cross-site evaluation with IVPB.
7. Implement at least two (2) sexual violence primary prevention strategies/activities that adhere to the Principles of Effective Prevention Programs. No more than one (1) strategy can target the “individual level” of the ecological model [refer to pages 8-9 of *Sexual Violence Prevention: Beginning the Dialogue* in Appendix 3]. Awardees will be expected to apply lessons learned from the past three years of strategy implementation and evaluation results to enhance their sexual violence prevention strategies, to adhere to the Principles of Effective Prevention Programs, and to build on the successes of their strategies while expanding their efforts into more comprehensive prevention programming.
8. Develop a logic model for each of two sexual violence primary prevention strategies. (A logic model is a pictorial diagram that shows the relationship between program components and activities to desired outcomes).
9. Implement process and outcome evaluation of sexual violence primary prevention strategies and process evaluation of the community Sexual Violence Prevention Task Force; utilize results for continuous quality improvement.
10. Provide mentoring for newly funded RPE programs, which includes working closely with one newly funded agency (as a program “buddy”) and the choice of one of the following: 1) Participate on capacity building team with the IVPB to develop materials/strategies to assist agency board of directors and staff, community members, legislators, local elected officials, etc. to better understand the primary prevention of sexual violence; 2) Assist with planning and implementing training; 3) Present information about primary prevention of sexual violence at the Biennial NCCASA Conference or another state or local conference; or 4) Develop some other IVPB approved means of disseminating information or key findings about sexual violence prevention efforts.

11. Identify at minimum a 15% match (15% of total requested funds), which can be met via cash, in-kind agreements, or a combination of both.
12. Identify and implement at least one (1) other means of increasing sustainability of sexual violence primary prevention efforts in the community.

Deliverables to Complete by the End of Year 2 (by October 31, 2011):

1. Continue to implement strategies to enhance community readiness related to sexual violence prevention.
2. Strengthen and expand community collaborations to enhance the role of various community stakeholders (i.e., increase community ownership) in the prevention of sexual violence. This includes, but is not limited to, maintaining a Sexual Violence Prevention Task Force comprised of community organizations and individuals to assist with, among other things, strategic planning for the primary prevention of sexual violence in a culturally and community competent manner.
3. Participate in three (3) mandatory trainings to be determined in conjunction with the IVPB (Prevention Coordinator is required to attend, and his/her immediate supervisor or executive director are welcome to attend).
4. Attend Annual RPE Grantee Meeting in Raleigh (Prevention Coordinator and his/her immediate supervisor are **both required** to attend).
5. Utilize tools and apply training and technical assistance provided by IVPB to improve program practice.
6. Participate in cross-site evaluation with IVPB.
7. Implement at least two (2) sexual violence primary prevention strategies/activities that adhere to the Principles of Effective Prevention Programs. No more than one (1) strategy can target the “individual level” of the ecological model [refer to pages 8-9 of *Sexual Violence Prevention: Beginning the Dialogue* in Appendix 3]. Awardees will be expected to apply lessons learned from past strategy implementation and evaluation results to enhance their sexual violence prevention strategies, to adhere to the Principles of Effective Prevention Programs, and to build on the successes of their strategies while expanding their efforts into more comprehensive prevention programming.
8. Develop a logic model for each of two sexual violence primary prevention strategies. (A logic model is a pictorial diagram that shows the relationship between program components and activities to desired outcomes).
9. Implement process and outcome evaluation of sexual violence primary prevention strategies and process evaluation of the community Sexual Violence Prevention Task Force; utilize results for continuous quality improvement.
10. Provide mentoring for newly funded RPE programs, which includes working closely with one newly funded agency (as a program “buddy”) and the choice of one of the following: 1) Participate on capacity building team with the IVPB to develop materials/strategies to assist agency board of directors and staff, community members, legislators, local elected officials, etc. to better understand the primary prevention of sexual violence; 2) Assist with planning and implementing training; 3) Present information about primary prevention of sexual violence at the Biennial NCCASA Conference or another state or local conference; or 4) Develop some other IVPB approved means of disseminating information or key findings about sexual violence prevention efforts.

11. Identify at minimum a 20% match (20% of total requested funds), which can be met via cash, in-kind agreements, or a combination of both.
12. Identify and implement at least one (1) other means of increasing sustainability of sexual violence primary prevention efforts in the community.

IV. GENERAL INFORMATION ON SUBMITTING APPLICATIONS

1. Award or Rejection

All qualified applications will be evaluated and an award made to that agency or organization whose combination of budget and service capabilities is deemed to be in the best interest of the funding agency. The funding agency reserves the unqualified right to reject any or all offers if determined to be in its best interest. Successful applicants will be notified by 07/15/2009.

2. Decline to Offer

Any agency or organization that receives a copy of the RFA but declines to make an offer is requested to send a written "Decline to Offer" to the funding agency. Failure to respond as requested may subject the agency or organization to removal from consideration of future RFAs.

3. Cost of Application Preparation

Any cost incurred by an agency or organization in preparing or submitting an application is the agency's or organization's sole responsibility; the funding agency will not reimburse any agency or organization for any pre-award costs incurred.

4. Elaborate Applications

Elaborate applications in the form of brochures or other presentations beyond that necessary to present a complete and effective application are not desired.

5. Oral Explanations

The funding agency will not be bound by oral explanations or instructions given at any time during the competitive process or after awarding the grant.

6. Reference to Other Data

Only information that is received in response to this RFA will be evaluated; reference to information previously submitted will not suffice.

7. Titles

Titles and headings in this RFA and any subsequent RFA are for convenience only and shall have no binding force or effect.

8. Form of Application

Each application must be submitted on the form provided by the funding agency, and will be

incorporated into the funding agency's Performance Agreement (contract).

9. Exceptions

All applications are subject to the terms and conditions outlined herein. All responses will be controlled by such terms and conditions. The attachment of other terms and conditions by any agency and organization may be grounds for rejection of that agency or organization's application. Funded agencies and organizations specifically agree to the conditions set forth in the Performance Agreement (contract).

10. Advertising

In submitting its application, agencies and organizations agree not to use the results therefrom or as part of any news release or commercial advertising without prior written approval of the funding agency.

11. Right to Submitted Material

All responses, inquiries, or correspondence relating to or in reference to the RFA, and all other reports, charts, displays, schedules, exhibits, and other documentation submitted by the agency or organization will become the property of the funding agency when received.

12. Competitive Offer

Pursuant to the provision of G.S. 143-54, and under penalty of perjury, the signer of any application submitted in response to this RFA thereby certifies that this application has not been arrived at collusively or otherwise in violation of either Federal or North Carolina antitrust laws.

13. Agency and Organization's Representative

Each agency or organization shall submit with its application the name, address, and telephone number of the person(s) with authority to bind the agency or organization and answer questions or provide clarification concerning the application.

14. Subcontracting

Agencies and organizations may propose to subcontract time-limited, non-programmatic tasks (e.g., bookkeeping, data analysis, etc.) provided that their applications clearly indicate the scope of the work to be subcontracted, and to whom. Contractors are not permitted to subcontract out large portions of work that is related to programmatic objectives of the RPE program. IVPB staff must provide approval for all proposed subcontracts. All information required about the prime grantee is also required for each proposed subcontractor.

15. **Proprietary Information**

Trade secrets or similar proprietary data which the agency or organization does not wish disclosed to other than personnel involved in the evaluation will be kept confidential to the extent permitted by NCAC TO1: 05B.1501 and G.S. 132-1.3 if identified as follows: Each page shall be identified in boldface at the top and bottom as "CONFIDENTIAL." Any section of the application that is to remain confidential shall also be so marked in boldface on the title page of that section.

16. **Participation Encouraged**

Pursuant to Article 3 and 3C, Chapter 143 of the North Carolina General Statutes and Executive Order No. 77, the funding agency invites and encourages participation in this RFA by businesses owned by minorities, women, and people with disabilities including utilization as subcontractor(s) to perform functions under this Request for Applications.

17. **Contract**

The Division will issue a contract to the recipient of the RFA funding. Expenditures can begin immediately upon receipt of a completely signed contract.

Please be advised that successful applicants may be required to have an audit in accordance with G.S. 143C-6-22 and G.S. 143C-6-23 as applicable to the agency's status. Also, the contract may include assurances that the successful applicant will be required to execute when signing the contract.

Agencies or organizations receiving Federal funds will be required to execute certifications regarding Environmental Tobacco Smoke, Lobbying, Debarment, and Drug-Free Workplace Requirements. See Attachment E to view these certifications. **They do not need to be signed for the application submission.**

Contracts with private non-profit agencies require a notarized conflict of interest policy statement, as well as a Certification of No Overdue Taxes. See the instructions on Attachments G and H, complete the forms, and include in submission, if applicable.

Private non-profit applicants must also be registered with the North Carolina Secretary of State to do business in North Carolina, or be willing to complete the registrations process in conjunction with the execution of the contract documents.
(see <http://www.secretary.state.nc.us/corporations>).

V. APPLICATION PROCUREMENT PROCESS AND APPLICATION REVIEW

The following is a general description of the process by which applicants will be selected for funding for this project.

1. RFAs are being sent to prospective agencies and organizations via direct mail or e-mail. The RFA will also be made available via the Injury and Violence Prevention Branch Website after April 1, 2009. <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm>

2. All prospective applicants are ENCOURAGED to attend a BIDDER'S CONFERENCE on April 14, 2009 from 1:00-4:30 PM (see Appendix 1 for more information). This conference is an opportunity to learn more about the RPE program and to ask questions. It is **not** mandatory.
3. Any agency or organization that plans to submit an application is required to send a letter of intent no later than **5:00 P.M. on April 24, 2009. Letters of Intent arriving after this deadline will not be considered even if they are postmarked on or before the deadline. The letter of intent is not binding** (e.g., the potential applicant may choose not to apply without penalty after submitting a letter of intent); **however, no applications will be accepted without a submitted letter of intent.** The letter of intent should be printed on agency letterhead, be no longer than one page in length, and shall include the following:
 - The name of the representative(s) who attended the bidder's conference, if applicable.
 - The name and e-mail address of the person who will coordinate the application submission.
4. As an addendum to this RFA, a summary of all questions and answers received at the Bidder's Conference or afterwards will be placed on the program web site at <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> by May 13, 2009. No further questions will be accepted and no further information about responding to this RFA will be provided after April 30, 2009. Therefore, it is critical that potential applicants read the RFA thoroughly, think about questions or points of confusion early, and ask any questions at the Bidder's Conference, via e-mail, or by telephone call before this April 30, 2009 deadline.
5. Applicants shall submit an **original** and **three** (3) **copies** of the application, each bound in a 3-ring binder with application sections clearly marked using labeled tabs (see pages 21-22 for more information about organizing the application). All 3 **copies** shall include all of the required attachments and shall be clearly labeled as copies on the front of each binder. In addition, applicant organizations shall submit an electronic version of the application, line item budget and budget narrative on a rewriteable CD-RW disc, 3.5 inch disk either with the "hard" copies, or as an e-mail attachment to Ann.Caughran@ncmail.net. Electronic submission will not be accepted in lieu of an original. Faxed applications will not be accepted.
6. All applications must be received by the Injury and Violence Prevention Branch, Division of Public Health **no later than 5:00 PM on May 26, 2009. Applications arriving after this deadline will not be considered even if they are postmarked on or before the deadline.** Faxed or e-mailed applications **will not** be accepted in lieu of the original and required number of hard copies. Original signatures are required.

Note: If the US Postal Service is used, allow sufficient time for delivery to the Injury and Violence Prevention Branch by 5:00 PM, close of business, on May 26, 2009.

7. Applications may be received via the US Postal Service at the mailing address or hand delivered/express mailed at the physical address noted on the cover page of this RFA. Applications from each responding agency and organization will be logged into a database and stamped with the date received on the cover sheet.
8. At their option, the application reviewers may request additional information from any or all applicants for the purpose of clarification or to amplify the materials presented in any part of the application. However, agencies and organizations are cautioned that the reviewers are not required to request clarification: therefore, all applications should be complete and reflect the most favorable terms available from the agency or organization.
9. Applications will be evaluated by an independent review committee according to completeness, content, experience with similar projects, ability of the agency's or organization's staff, cost, etc. The award of a grant to one agency and organization does not mean that the other applications lacked merit, but that, all facts considered, the selected application was deemed to provide the best service to the State.
10. Agencies and organizations are cautioned that this is a request for applications, and the funding agency reserves the unqualified right to reject any and all applications when such rejections are deemed to be in the best interest of the funding agency.

11. Application Process Summary Dates:

- 04/01/2009: Request for applications e-mailed and/or mailed to eligible applicants.
- 04/14/2009: Optional Bidder's Conference from 1:00-4:30 PM
- 04/24/2009: Letters of Intent to apply are due to the Injury and Violence Prevention Branch by close of business, 5:00 PM.
- 04/30/2009: Last day to submit a question or seek assistance in responding to this RFA. A summary of all questions and answers received by this date will be posted by May 13, 2009 on the program website at <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm>
- 05/26/2009: Applications due to the Injury and Violence Prevention Branch by close of business, 5:00 PM.
- 07/15/2009: Awards announced to successful applicants.
- 11/01/2009: Contract begins.

VI. APPLICATION FORMS

Form of Application

Each application must be submitted on the form provided by the funding agency, and will be incorporated into the funding agency's Performance Agreement (contract). New applicants (i.e., agencies/organizations that did not receive RPE funds during 2006-2009 funding period) and currently funded applicants (i.e., agencies/organizations that have received RPE funds during 2006-2009 funding period) will have separate forms to use when filing out applications. Electronic copies of both forms can be downloaded from the IVPB website at <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm>.

Original Application

The application marked as “original” should contain all original signatures. Mechanical, copied, or stamped signatures are not acceptable. The original application should be clearly marked “original” on the binder cover.

Copies of Application

Along with the original application, submit three (3) photocopies of the application in its entirety (including all required attachments). Copies of the application should be clearly marked “copy” on the binder cover.

Format

The application must be in a **narrative format**. The bulleted items listed under each section provide the critical elements you must address; however, you are encouraged to include more information beyond these minimum requirements while staying within the stated page limits. The application must be typed, single-sided on 8.5” x 11” paper with margins of 1”. Line spacing should be double spaced. The font type should be easy to read and no smaller than 11-point font.

Space Allowance

Page limits are clearly marked in each section of the application. Responses should not exceed the space allowed.

Organizing the Application

Secure the application in a 3-ring binder. Use one (1) binder for the original and one (1) binder for each of the three (3) required copies. The cover of each binder must include the following information: the name of the applying agency, the county(ies) served by the proposed project, RFA #A-181, and whether the binder includes an original or a copy of the application. Use labeled tabs to separate the abstract, each section of the application, and each appendix. Each section of the application should be ordered as listed in the “Completing the Application” section below.

1. Cover Letter

The application must include a cover letter, on agency letterhead (if available), signed and dated by an individual authorized to legally bind the Applicant. If said individual is not the corporate president, submit evidence showing the individual's authority to bind the Applicant. (See Attachment D: Letter from Board President / Chairperson Identifying individual(s) Authorized to Sign Contracts.) Include in the cover letter the legal name of the Applicant agency, the RFA number (A-181), the federal tax identification number and the closing date for applications (05/25/09).

2. Application Face Sheet

This form provides basic information about the applicant and the proposed Rape Prevention and Education project with the Injury and Violence Prevention Branch in the NC Division of Public Health, including the signature of the individual authorized to sign "official documents" for the agency (See Attachment D: Letter from Board President / Chairperson Identifying individual(s) Authorized to Sign Contracts.). This form is the application's cover page.

3. Abstract

Include up to a 1-page abstract that briefly summarizes the individual sections of your application.

4. Application

Complete a narrative for each section of the appropriate application depending upon whether the applicant has or has not received funding during the period of 2006-09. Ensure that each bulleted point listed under each section is addressed. Do not exceed the page limits of each section.

5. Application Checklist

Utilize the application checklist provided on Page 42 to ensure that the application is complete. Incomplete applications may not be reviewed. Additional information will not be accepted after the due date of the application even if the application was submitted on time.

Disbursement of Funding

Funds to successful applicants will be dispersed on a cost reimbursement bases only. The recipient will be required to submit monthly Contract Expenditure Reports within 10 days from the end of the month for which it is being submitted.

Level of Funding

Awards may range from no less than \$40,000 up to no more than \$60,000 per year. Funded agencies are required to supplement the award by providing local matching funds at a level

described in the Budget Section of the appropriate application form (p. 30 or p. 38), depending upon whether the agency/organization is a new applicant to the RPE Program or if the applicant received funds during the 2006-2009 funding period. Local matching funds may be accounted for either in cash or in-kind services.

Re-Application by a Current (2006-2009) RPE Contract Recipient

Previous program performance in meeting contract deliverables and other aspects of contract compliance of agencies and organizations that have received funds for RPE during the 2006-2009 funding period will be considered in evaluating applications submitted in response to this new RFA. RPE Program staff in the Injury and Violence Prevention Branch will review past performance using a standard list of questions that may result in a range from -10 to +10 points being applied to the final score determined by the independent panel responsible for reviewing the application. The IVPB RPE Program staff will **NOT** serve as review panelists and will not assess/score the rest of the application. Also, the review panelists will not be aware of the IVPB RPE staff's assessment of past performance when they read and score the applications.

APPLICATION FORM FOR AGENCIES THAT HAVE NOT RECEIVED RPE FUNDS FROM 2006-2009

Abstract: Include a 1-page abstract that summarizes each section of your application.
You may use no more than 1 page for the abstract. These instructions may be deleted to maximize space.

Section I. Needs Statement (15% of Score)

You may use no more than four pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

- A. Describe the county or area you will be serving: include information about the population(s) who live there, the size and geographic diversity of the area, and any other factors that may impact your prevention activities (e.g., urban/rural, transportation, industry and economic conditions, recent events, etc.).
- B. Describe the need for sexual violence prevention in your area of focus: include data on victimization and perpetration of various forms of sexual violence, limitations of the data, social norms you are aware of that may promote or prevent sexual violence, and anything else that may indicate a need for RPE programming. (See Appendix 6 for some possible Sources of Data that may be useful to you as you prepare this section).
- C. Describe the strengths in your community that may be helpful to you as you develop sexual violence primary prevention programming (e.g., other services, strong collaborations, strong and vocal advocate(s) for the prevention of sexual violence and other violence, things that are happening that indicate people may be ready to talk about this issue, etc.).

Section II. Description of Organization/Agency (15% of Score)

You may use no more than three pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

- A. Provide a description of the appropriateness of the agency/organization for the RPE Program. Include the following **REQUIRED** items:
- A description of the agency/organization and its purpose
 - A brief history of the applicant agency (how, when, and why your agency was established)
 - The mission statement
 - An organizational chart
 - A resolution from the Board of Directors or another governing body of your agency or the county commissioners indicating strong support for the primary prevention of sexual violence
- B. Although this project primarily funds the Prevention Coordinator, primary prevention needs to be an effort the entire agency supports. **Provide examples** of how the organization will support the Prevention Coordinator as an integral member of the staff and how others in the organization (e.g., Board members, staff, executive director and management, volunteers) can demonstrate their commitment to a shift towards the primary prevention of sexual violence.

Section III: Description of Sexual Violence Leadership in the Community (20% of Score)

You may use no more than four pages for this section (not including appendices). These instructions and bulleted items below may be deleted to maximize space.

- A. Although the RPE grant does not fund client services, demonstrating leadership in the many aspects of addressing sexual violence is an important consideration. Provide evidence that the agency/organization is a recognized leader of sexual violence services and prevention activities in the community. Evidence may include, but is not limited to, the following:
- Current implementation of **prevention** programs (provide examples)
 - Current or recent evidence of agency being a public spokesperson for sexual violence **prevention**
 - Current evidence of leadership in influencing local policies and practices for sexual violence **prevention**
 - Successful collaboration with other agencies for sexual violence **prevention**
 - Provision of services to survivors of sexual violence and involvement in a community task force or group to enhance the effectiveness of the response to victims (e.g., a Sexual Assault Response Team (SART))
- B. Describe how your agency plans to respond to potential disclosures of sexual violence by participants during your proposed prevention activities.
- This may include referring the participant to direct service staff at your agency.
 - **If the applicant agency/organization does not provide direct services to survivors of sexual violence, the applicant must:**
 - EITHER
 - Provide a Letter of Specific Commitment in Attachment A from a local rape crisis center that has agreed to provide services to the individuals who have disclosed. (The review committee reserves the right to contact the rape crisis center listed in this Letter of Specific Commitment and ask about the history of their working relationship with the applicant).
 - OR
 - If the applicant organization is a college or university, provide a plan for providing support to victims at another appropriate location on campus (e.g., health services, counseling center, a women's center that provides counseling, etc.) and a Letter of Specific Commitment from that office (include in Attachment A).
 - Include a plan to ensure the Prevention Coordinator is adequately trained **by February 28, 2010** to respond sensitively to a disclosure and to link the participant to direct services. This plan must also address potential turnover in the role of the Prevention Coordinator.

Section IV: Community Support (15% of Score)

You may use no more than two pages for this section (not including appendices). These instructions and bulleted items below may be deleted to maximize space.

- Provide Letters of Support from other community agencies/organizations and individuals that show a strong commitment for this application and/or sexual violence primary prevention, as well as ongoing support of, and involvement with your agency. NOTE: Letters of Support should be individualized and should speak to the unique relationship the author and/or his or her agency has with the applicant. Include these letters in Attachment A.
- Provide a list of potential partners (e.g., individuals, agencies, organizations) you will approach in Year 1 to serve on a sexual violence prevention task force and include it in Attachment A. No Letter of Specific Commitment is needed for this application (see Appendix 5 for a sample list of task force invitees).
- Newspaper articles about your program and other documents detailing general community support would be helpful to include in Attachment A.

Section V: Agency Ability (20% of Score)

You may use no more than four pages for this section (not including appendices). These instructions and bulleted items below may be deleted to maximize space.

- Discuss why this is an opportune time for your agency to undertake this planning grant and to develop sexual violence primary prevention strategies in Year 2.
 - Describe your agency's capacity (i.e., what do you already have in place) to shift towards primary prevention.
 - Describe your agency's capacity to engage community members and organizations in sexual violence prevention work.
 - Provide a preliminary action plan that includes steps you will undertake while making the shift towards primary prevention.
 - Outline your agency's experience administering grant funds.
 - Explain how your agency can reasonably meet the demands of the project activities.
- Discuss how the Prevention Coordinator's supervisor will be involved in this project.

Section VI: Statement of Commitment (5% of Score)

You may use no more than one page for this section. These instructions and items below may be deleted to maximize space.

Provide a statement of commitment that describes how you plan on:

- Using the two years of this project period for learning and increasing the agency/organizational capacity to provide effective sexual violence primary prevention activities;
- Undertaking community wide planning efforts in Year 1 in order to develop effective and focused sexual violence primary prevention strategies in Year 2;
- Ensuring that the Prevention Coordinator attends and participates in all 3 of the full-day trainings each year and that both the Prevention Coordinator and his/her immediate supervisor attend the Annual RPE full-day Grantee Meeting;
- Working cooperatively with the RPE staff in the Injury and Violence Prevention Branch in order to implement effective primary prevention programs for sexual violence.

Section VII: Budget (10% of Score)

*You **must** utilize the budget form and narrative format provided. These instructions and items below may be deleted to maximize space.*

A. Provide a proposed annual budget for Year 1 using the form in Attachment B-1. Note: A sample budget is provided in Appendix B-2.

- The budget must be prepared for no less than \$40,000 and no more than \$60,000 in Year 1. For successful applicants, the budget for Year 2 will be negotiated during a contract amendment process.
- In addition to the amount requested, include another **5% match**, which may be satisfied by cash, in-kind contributions, or a combination of both (the total budget = your requested RPE amount PLUS a 5% match).
 - Some examples of the in-kind match could include, but are not limited to: office space or other occupancy cost; meeting space; food for meetings; staff or volunteer time committed to RPE; supervisor's time if not claiming it in the budget, or if it exceeds the amount claimed; discounts on fees for space or co-presenters; supplies; travel above and beyond the required amount to support the 3 required training sessions and 1 grantee meeting.
 - Note: the match requirement in Year 2 will increase to 10%.
- Personnel
 - Include the annual salary for 1 full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator's supervisor's salary.
 - Include the costs of fringe benefits for the full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator's supervisor's fringe benefits.
- Operating Expenses
 - Travel (in-state): include travel costs for the Prevention Coordinator to travel to 3 all-day trainings and 1 all-day Grantee Meeting in Raleigh. Include travel costs for the Supervisor to attend the Grantee Meeting in Raleigh. Requesting reimbursement to support the supervisor's attendance at the 3 trainings is optional.
 - Travel (out-of-state): included travel costs for any proposed travel out of state that is clearly linked to performing the duties associated with the RPE Program. This is an optional category.
 - All travel expenses must be consistent with the currently approved state rates for mileage and subsistence. Applicants may request reimbursement amounts that are lower than the state rate but may not exceed established state rates. Please note that the rates are subject to change without notice.

- Current rates are as follows:

Meals			In State	Out of State
	Breakfast		\$7.50	\$7.50
	Lunch		\$9.75	\$9.75
	Dinner		\$16.75	\$19.00
			\$34.00	\$36.25
Lodging		(Maximum)*	\$63.75	\$75.50
Total			\$97.75	\$111.75
Mileage up to \$0.55 per mile				

* Prior Approval is required if actual costs exceed the maximum amount allowed.

- Communications: List costs including telephone, internet, e-mail and other communications related to project and associated unit costs.
 - Supplies: List supply needs and associated costs.
 - Postage: List postage costs.
 - Equipment: List necessary equipment; note that requests >\$500 require state **PRE**-approval. Requests for computer purchase require additional **PRE**-approval.
 - Indirect Costs: Calculate indirect costs (optional) up to an RPE allowed maximum of 5%. If indirect costs are requested, an Indirect Cost Rate Approval Letter must also be submitted.
 - Other: List all other operations costs associated with conducting program activities.
- Provide a Letter of Specific Commitment in Attachment A from any agency, organization, or individual that has agreed to provide in-kind or financial match for the purpose of this Rape Prevention and Education project.

- B. Provide a separate budget narrative that clearly justifies each item listed in the budget and clearly links it to planned activities in support of the RPE Program. The budget narrative must include calculations used to arrive at the requested line item amount. A sample budget narrative is provided in Appendix B-3. This should be used as a reference for the level of detail expected for line items.

APPLICATION FORM FOR AGENCIES THAT HAVE RECEIVED RPE FUNDS FROM 2006-2009

Abstract: Include a 1-page abstract that summarizes each section of your application.
You may use no more than 1 page for the abstract. These instructions may be deleted to maximize space.

Section I. Needs Statement (10% of Score)

You may use no more than four pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

- Describe the county or area you will be serving: include information about the population(s) who live there, the size and geographic diversity of the area, and any other factors that may impact your prevention activities (e.g., urban/rural, transportation, industry and economic conditions, recent events, etc.).
- Describe the need for sexual violence prevention in your area of focus: include data on victimization and perpetration of various forms of sexual violence, limitations of the data, social norms you are aware of that may promote or prevent sexual violence, and anything else that may indicate a need for RPE programming. (See Appendix 6 for some possible Sources of Data that may be useful to you as you prepare this section).
- Describe the strengths in your community that may be helpful to you as you develop more comprehensive sexual violence primary prevention programming (e.g., other services, strong collaborations, strong and vocal advocate(s) for the prevention of sexual violence and other violence, things that are happening that indicate people may be ready to talk about this issue, etc.).
- Describe how you have and will continue to utilize the results of your community assessments that you prepared in 2008 to inform your prevention strategies, the populations you serve, and any other activities you plan to undertake.

Section II. Description of Organization/Agency and of Sexual Violence Leadership in the Community (10% of Score)

You may use no more than five pages for this section (not including appendices). These instructions and items below may be deleted to maximize space.

- Provide a description of the appropriateness of the agency/organization for the RPE Program. Include the following **REQUIRED** items:
 - A description of the agency/organization and its purpose
 - A brief history of the applicant agency (how, when, and why your agency was established)
 - The mission statement
 - An organizational chart
 - A resolution from the Board of Directors or another governing body of your agency or the county commissioners indicating strong support for the primary prevention of sexual violence
- Although this project primarily funds the Prevention Coordinator, primary prevention needs to be an effort the entire agency supports. **Provide examples** of how the organization will support the Prevention Coordinator as an integral member of the staff and how others in the organization (e.g., Board members, staff, executive director and management, volunteers) can demonstrate their commitment to a shift towards the primary prevention of sexual violence.
- Describe how your agency plans to respond to potential disclosures of sexual violence by participants during your proposed prevention activities.
 - This may include referring the participant to direct service staff at your agency.
 - **If the applicant agency/organization does not provide direct services to survivors of sexual violence, the applicant must:**
EITHER
 - Provide a Letter of Specific Commitment in Attachment A from a local rape crisis center that has agreed to provide services to the individuals who have disclosed. (The review committee reserves the right to contact the rape crisis center listed in this Letter of Specific Commitment and ask about the history of their working relationship with the applicant).OR
 - If the applicant organization is a college or university, provide a plan for providing support to victims at another appropriate location on campus (e.g., health services, counseling center, a women's center that provides counseling, etc.) and include a Letter of Specific Commitment from that office in Attachment A.
- Include a plan to ensure the Prevention Coordinator is adequately trained **by February 28, 2010** to respond sensitively to a disclosure and to link the participant to direct services. This plan must also address potential turnover in the Prevention Coordinator position during the 2009-2011 funding period.

Section III: Community Support (20% of Score)

You may use no more than four pages for this section. These instructions and bulleted items below may be deleted to maximize space.

- Provide letters of support in Attachment A from other community agencies/organizations and individuals that show a strong commitment for this application and/or sexual violence primary prevention, as well as ongoing support of, and involvement with your agency. NOTE: Letters of support should be individualized and should speak to the unique relationship the author and/or his or her agency has with the applicant.
- Newspaper articles about your program and other documents detailing general community support would be helpful to include in Attachment A.
- Provide a list of current Sexual Violence Prevention Task Force members (e.g., individuals and the agencies/organizations they represent, if any). Provide a letter of specific commitment from any individual, agency, or organization that has agreed to serve on the Task Force. Include both the list and the letters of specific commitment in Attachment A.
- Discuss the role(s) played by the Sexual Violence Prevention Task Force members during the 2006-2009 funding period.
- Provide a plan for generally enhancing the roles of the Task Force for the duration of the new funding cycle (2009-2011). Also, describe ways in which the Task Force will assist with enhancing the sexual violence primary prevention activities the applicant will undertake.
- Provide a plan to increase community ownership of the task force, including but not limited to, having members take on greater roles during the meetings and/or with planning community events, etc.
- Provide examples of ways you plan to increase the diversity of representation by key individuals, agencies, and organizations (see Appendix 5 for a sample list of possible task force invitees).

Section IV: Sexual Violence Primary Prevention Strategies (25% of Score)

You may use no more than five pages for this section. These instructions and bulleted items below may be deleted to maximize space.

- Provide a description of the two sexual violence primary prevention strategies you will undertake.
 - Describe how you will increase their adherence to the Principles of Effective Prevention Programs.
 - Describe the population(s) and number of participants you plan to serve with each strategy as well as how and why you chose the population(s).
- Describe ways you will incorporate lessons learned from the 2006-09 funding cycle into the upcoming period to strengthen the programs you provide.
- Discuss the successes of your prevention strategies during the 2006-09 funding cycle, and provide examples of how you plan to build on these successes in the upcoming period to expand your prevention strategies and make them more comprehensive.

Section V: Evaluation (15% of Score)

You may use no more than two pages for this section. These instructions and items below may be deleted to maximize space.

- Provide a plan for continuing and enhancing process and outcome evaluation of your primary prevention strategies, as well as process evaluation of your Sexual Violence Prevention Task Force.
- Provide a plan for using the results of your evaluation for continuous quality improvement.
- Provide a statement of commitment to participating in the cross-site evaluation with the Injury and Violence Prevention Branch (e.g., the quantitative Annual Report supplied by the CDC, other mechanisms such as focus groups and interviews conducted by the IVPB).

Section VI: Mentoring Newly Funded RPE Programs (10% of Score)

You may use no more than two pages for this section. These instructions and items below may be deleted to maximize space.

- Provide a plan for serving as a mentor to newly funded RPE programs. Options for mentorship include the following:
 - Participate on a capacity building team with the IVPB to develop materials/strategies to assist agency board of directors and staff, community members, legislators, local elected officials, etc. to better understand the primary prevention of sexual violence;
 - Assist with planning and implementing training;
 - Present information about primary prevention of sexual violence at the Biennial NCCASA Conference or another state or local conference; or
 - Develop some other IVPB approved means of disseminating information or key findings about sexual violence prevention efforts.

Section VII: Budget (10% of Score)

You must utilize the budget form and narrative format provided. These instructions and items below may be deleted to maximize space.

- A. Provide a proposed annual budget for Year 1 using the form in Attachment B-1. Note: A sample budget is provided in Appendix B-2.
- The budget must be prepared for no less than \$40,000 and no more than \$60,000 in Year 1. For successful applicants, the budget for Year 2 will be negotiated during a contract amendment process.
 - In addition to the amount requested, include another **15% match**, which may be satisfied by cash, in-kind contributions, or a combination of both (the total budget = your requested RPE amount PLUS a 15% match).
 - Some examples of the in-kind match could include, but are not limited to: office space or other occupancy cost; meeting space; food for meetings; staff or volunteer time committed to RPE; supervisor's time if not claiming it in the budget, or if it exceeds the amount claimed; discounts on fees for space or co-presenters; supplies; travel above and beyond the required amount to support the 3 required training sessions and 1 grantee meeting.
 - Note: the match requirement in Year 2 will increase to 20%.
 - Personnel
 - Include the annual salary for 1 full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator's supervisor's salary.
 - Include the costs of fringe benefits for the full-time Prevention Coordinator. Applicants may also request up to 10% of the Prevention Coordinator's supervisor's fringe benefits.
 - Operating Expenses
 - Travel (in-state): include travel costs for the Prevention Coordinator to travel to 3 all-day trainings and 1 all-day Grantee Meeting in Raleigh. Include travel costs for the Supervisor to attend the Grantee Meeting in Raleigh. Requesting reimbursement to support the supervisor's attendance at the 3 trainings is optional.
 - Travel (out-of-state): included travel costs for any proposed travel out of state that is clearly linked to performing the duties associated with the RPE Program. This is an optional category.
 - All travel expenses must be consistent with the currently approved state rates for mileage and subsistence and in accordance to the Office of State Budget and Management policy and guidelines. Applicants may request reimbursement amounts that are lower than the state rate but may not exceed established state rates. Please note that the rates are subject to change without notice.
 - Current rates are as follows:

Meals			In State	Out of State
	Breakfast		\$7.50	\$7.50
	Lunch		\$9.75	\$9.75
	Dinner		\$16.75	\$19.00
			\$34.00	\$36.25
Lodging		(Maximum)*	\$63.75	\$75.50
Total			\$97.75	\$111.75
Mileage up to \$0.55 per mile				

* Prior Approval is required if actual costs exceed the maximum amount allowed.

- Communications: List costs including telephone, internet, e-mail and other communications related to project and associated unit costs.
 - Supplies: List supply needs and associated costs.
 - Postage: List postage costs.
 - Equipment: List necessary equipment; note that requests >\$500 require state **PRE**-approval. Requests for computer purchase require additional **PRE**-approval.
 - Indirect Costs: Calculate indirect costs (optional) up to an RPE allowed maximum of 5%. If indirect costs are requested, an Indirect Cost Rate Approval Letter must also be submitted.
 - Other: List all other operations costs associated with conducting program activities.
- Provide a Letter of Specific Commitment in Attachment A from any agency, organization, or individual that has agreed to provide in-kind or financial match for the purpose of this Rape Prevention and Education project.

- B. Provide a separate budget narrative that clearly justifies each item listed in the budget and clearly links it to planned activities in support of the RPE Program. The budget narrative must include calculations used to arrive at the requested line item amount. A sample budget narrative is provided in Appendix B-3. This should be used as a reference for the level of detail expected for line items.

Section VIII: Performance during 2006-2009 Funding Period

NOTE: This section is provided for informational purposes only. The applicant is not being asked to respond.

Previous program performance in meeting contract deliverables and other aspects of contract compliance of agencies and organizations that have received funds for RPE during the 2006-2009 funding period will be considered in evaluating applications submitted in response to this new RFA.

- RPE Program staff in the Injury and Violence Prevention Branch will review past performance using a standard list of questions that may result in a range from -10 to +10 points being applied to the final score determined by the independent panel responsible for reviewing the application.
- The IVPB RPE Program staff will **NOT** serve as review panelists and will not assess/score the rest of the application.
- Review panelists will not be aware of the IVPB RPE staff's assessment of past performance when they read and score the applications.

This Page Left Intentionally Blank

VII. APPLICATION CHECKLIST (FOR ALL APPLICANTS, REGARDLESS OF FUNDING STATUS IN 2006-20)09

Please be sure that all of the following items are included in your application. Assemble the application in the following order. Number each page consecutively. Applications must be typed in at least an 11-point font, double-spaced with 1-inch margins, and single-sided. All original applications and each of three (3) required copies must be secured in a 3-ring binder and clearly labeled as “original” or “copy” on the cover of each binder.

- ___ Cover Letter: The application must include a cover letter, on agency letterhead (if available), signed and dated by an individual authorized to legally bind the Applicant. If said individual is not the corporate president, submit evidence showing the individual’s authority to bind the Applicant. (See Attachment D: Letter from Board President/ Chairperson Identifying individual(s) Authorized to Sign Contracts.) Include in the cover letter the legal name of the Applicant agency, the RFA number (A-181), the federal tax identification number and the closing date for applications (05/25/09).
- ___ Application Face Sheet (see next page) followed by a completed application.
- ___ Completed Application Form
- ___ Attachment A: Letters of Commitment and/or Statements of Support.
- ___ Attachment B: Project Budget – include a budget and accompanying budget narrative in the format provided. Indirect costs are allowed and shall not exceed 5%. Include the required level of matching funds.
- ___ Attachment C: 501 (c) (3) Letter (Private Non-Profit Agencies) -- Public organizations shall submit a document verifying their legal name and tax identification number. Private not-for-profit agencies shall submit a copy of their IRS 501 (c) (3) and a 501 (c) 3 verification letter. N/A if provided to the DPH since 01/01/09.
- ___ Attachment D: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Contracts. Local government agencies should obtain the signature of town manager, chair of county commissioners, etc. N/A if provided to the DPH since 01/01/09.
- ___ Attachment E: Federal Certifications – Included for reference only. Certifications are not to be signed at time of application.
- ___ Attachment F: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Expenditure Reports. Local government agencies should obtain the signature of town manager, chair of county commissioners, etc. N/A if provided to the DPH since 01/01/09.
- ___ Attachment G: Notarized Conflict of Interest Policy (Applies to Private Non-Profits). N/A if provided to the DPH since 01/01/09.
- ___ Attachment H: Certification of No Overdue Taxes (Applies to Non-public entities and financial assistance contracts). N/A if provided to the DPH since 01/01/09.
- ___ Attachment I: Indirect Cost Rate Approval Letter (required if applicant requests Indirect Costs in Attachment B - budget).

VIII. RAPE PREVENTION AND EDUCATION PROGRAM APPLICATION FACE SHEET

This form provides basic information about the applicant and the proposed Rape Prevention and Education project with the Injury and Violence Prevention Branch in the NC Division of Public Health, including the signature of the individual authorized to sign "official documents" for the agency. This form is the application's cover page. Signature affirms that the facts contained in the applicant's response to RFA # A-181 are truthful and that the applicant is in compliance with the assurances and certifications that follow this form and acknowledges that continued compliance is a condition for the award of a contract. Please follow the instructions below.

1. Legal Name of Agency:	
2. Name of individual with Signature Authority:	
3. Mailing Address (include zip code+4):	
4. Address to which checks will be mailed:	
5. Street Address:	
6. Contract Administrator: ▪ Name: ▪ Title:	▪ Telephone Number: ▪ Fax Number: ▪ E-mail Address
7. Agency Status (check all that apply): <input type="checkbox"/> Public <input type="checkbox"/> Private Non-Profit <input type="checkbox"/> Local Health Department	
8. Agency Federal Tax ID Number:	
9. Agency's Financial Reporting Year:	
10. Current Service Delivery Areas (county(ies) and communities):	
11. Proposed Area(s) To Be Served with Funding (county(ies) and communities):	
12. Amount of Funding Requested (NOTE: must be between \$40,000 - \$60,000 annually):	
13. Projected Expenditures: Does applicant's state and/or federal expenditures exceed \$500,000 for applicant's current fiscal year (excluding amount requested in #12) Yes <input type="checkbox"/> No <input type="checkbox"/>	
The facts affirmed by me in this application are truthful and I warrant that the applicant is in compliance with the assurances and certifications contained in NC DHHS/DPH Assurances Certifications. I understand that the truthfulness of the facts affirmed herein and the continuing compliance with these requirements are conditions precedent to the award of a contract. The governing body of the applicant has duly authorized this document and I am authorized to represent the applicant.	
14. Signature of Authorized Representative:	15. Date

APPENDICES AND ATTACHMENTS

APPENDICES: GUIDANCE DOCUMENTS

The following documents provide useful information for responding to this RFA

- Appendix 1: Information about the VOLUNTARY Bidders' Conference
- Appendix 2: Principles of Effective Prevention Programs
- Appendix 3: *Sexual Violence Prevention: Beginning the Dialogue*
- Appendix 4: Sample Job Description for the RPE Prevention Coordinator
- Appendix 5: Potential Organizations, Initiatives, and Individuals to Consider Inviting to Be a Part of Your Sexual Violence Prevention Task Force
- Appendix 6: Sources of Data for Needs Statement

ATTACHMENTS: OTHER REQUIRED DOCUMENTS

- Attachment A: Letters of Commitment and/or Statements of Support
- Attachment B: Project Budget
 - B-1: Budget Form
 - B-2: Sample Budget
 - B-3: Sample Budget Narrative
- Attachment C: 501 (c) (3) Letter (Private Non-Profit Agencies)
- Attachment D: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Contracts.
- Attachment E: Federal Certifications – NOTE: Included for reference only.
Certifications are not to be signed at time of application.
- Attachment F: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Expenditure Reports.
- Attachment G: Notarized Conflict of Interest Policy (Applies to Private Non-Profits).
- Attachment H: Certification of No Overdue Taxes (Applies to Non-public entities and financial assistance contracts).
- Attachment I: Indirect Cost Rate Approval Letter (required if applicant requests Indirect Costs in Attachment B - budget).

APPENDICES

GUIDANCE DOCUMENTS

APPENDIX 1: INFORMATION ABOUT THE VOLUNTARY BIDDERS' CONFERENCE

All applicants are highly encouraged to attend an optional Bidder's Conference on April 14, 2009 from 1:00-4:30 PM. This will be an opportunity to learn more about the program, to hear details about the application process, and to ask any questions. Please note that we are unable to answer any questions or offer any technical assistance regarding this RFA after April 30, 2009. All questions received by April 30 will be posted on the Injury and Violence Prevention Branch website: <http://www.injuryfreenc.ncdhhs.gov/About/RPE.htm> by May 13, 2009.

The Bidder's Conference will be in a videoconference format. RPE Program staff will be broadcasting from the Cooper Building in downtown Raleigh, and participants may attend the session at that location or any of the other 6 sites listed below. Two-way communications will be available from all 7 sites so that RPE Program staff and participants at all 7 sites can hear the presentation and all questions and answers.

VIDEOCONFERENCE LOCATIONS:

1. Albemarle Regional Health Services, Elizabeth City (Pasquotank County)
2. Catawba County Health Department, Hickory (Catawba County)
3. Cooper Building, Raleigh (Wake County)
4. Cumberland County Health Department, Fayetteville (Cumberland County)
5. Jackson County Health Department, Sylva (Jackson County)
6. Mayes Center, UNC School of Public Health, Chapel Hill (Orange County)
7. Wilson County Health Department, Wilson (Wilson County)

For directions to each of these locations, please go to <http://www.phtin.org> and click on "site information" on the left side of your screen. Bidder's Conferences will be held only at the PHTIN Core Videoconferencing Sites. Directions to each location and an area map can be accessed on this website just to the right of the name of the location.

Please note: a local staff member will be available at each site to establish the videoconference link and handle any technical issues (e.g., link, microphone, etc.) that may develop during the program; however, they will not be able to answer any questions specific to the RFA. RPE staff will only be available in-person at the Cooper Building in Raleigh and will be able to answer questions via videoconference link to the other six sites.

APPENDIX 2: PRINCIPLES OF EFFECTIVE PREVENTION PROGRAMS

The principles of effective prevention programs were determined based on a review of many prevention projects across a number of topic areas⁵. CDC is promoting these as principles for the planning and implementation of programs for the primary prevention of sexual violence. The principles say that effective prevention programs have the following characteristics:

Comprehensive - multi-component strategies in multiple settings that address a range of risk and protective factors

Varied teaching methods - strategies that increase awareness and understanding as well as enhance and build new skills (e.g. hands on experience, role plays, verbal and written practice, multi-modal allowing participants to develop and practice new skills)

Sufficient dosage - exposure to enough of the intervention to produce the desired effects (i.e. multiple sessions). Saturation of fewer audiences rather than spreading our efforts over many audiences.

Theory driven - preventive strategies that have a scientific justification or logical rationale. Theory is often basis for developing an approach to intervention that addresses the problem.

Positive relationships - programs that promote strong positive relationships between children and adults. Effective programs support development of positive parent-child relationships, provide opportunity for youth and establish positive relationships with adult role models, provide adult mentor.

Appropriately timed - programs initiated early enough to have an impact on the development of problem behavior(s). Effective programs focus on risk factors and/or risk behaviors before development and are tailored to the intellectual, cognitive and social development level of participants.

Socioculturally relevant - tailored to the community and cultural norms, beliefs and practices; inclusion of community in planning and implementation

Outcome evaluation - systematic evaluation that documents how well a program has met the goals and objectives

Well-trained staff - programs are implemented by staff who are sensitive, competent and sufficiently trained, supported, and supervised. Booster training and technical assistance are critical.

⁵ Nation, M., Crusto, C., Wandersman, A., Kumpfer, K. L., Seybolt, D., Morrissey-Kane, E., & Davino, K. (2003). What Works in Prevention: Principles of Effective Prevention Programs. *American Psychologist*, 58, 449-456

APPENDIX 3: *SEXUAL VIOLENCE PREVENTION: BEGINNING THE DIALOGUE*

Available from: <http://www.cdc.gov/ncipc/dvp/SVPrevention.htm>

Sexual Violence Prevention: Beginning the Dialogue



CDC Internal Workgroup Members

Margaret Brome
Janet Saul
Karen Lang
Rebeca Lee-Pethel
Neil Rainford
Jocelyn Wheaton

Acknowledgments

CDC wishes to thank the following people for their expertise and sound advice on how to present this important information:

Karen Baker, National Sexual Violence Prevention Center

Kathleen Basile, Centers for Disease Control and Prevention

Shelley Bearman, Kansas Department of Health

Gail Bums-Smith, National Alliance to End Sexual Assault; Connecticut Sexual Assault Crisis Services

Larry Cohen, Prevention Institute

Linda Dahlberg, Centers for Disease Control and Prevention

Rachel Davis, Prevention Institute

Marci Diamond, Massachusetts Department of Health

Alisa Klein, Stop It Now

Sally Laskey, National Sexual Violence Resource Center

James Mercy, Centers for Disease Control and Prevention

Delilah Rumberg, Pennsylvania Coalition Against Rape

Wendy Siebold, Michigan State University

Nan Stein, Wellesley College Center for Research on Women

Gayle Stringer, Washington Coalition Against Sexual Assault Program

Suggested Citation: Centers for Disease Control and Prevention. Sexual violence prevention: beginning the dialogue. Atlanta, GA: Centers for Disease Control and Prevention; 2004.

Prevention: Beginning the Dialogue

One day, a fisherman was fishing from a river bank when he saw someone being swept downstream, struggling to keep their head above water. The fisherman jumped in, grabbed the person, and helped them to shore. The survivor thanked the fisherman and left, and the hero dried himself off and continued fishing. Soon he heard another cry for help and saw someone else being swept downstream. He immediately jumped into the river again and saved that person as well. This scenario continued all afternoon. As soon as the fisherman returned to fishing, he would hear another cry for help and would wade in to rescue another wet and drowning person. Finally, the fisherman said to himself, "I can't go on like this. I'd better go upstream and find out what is happening."

This public health analogy of "moving upstream" to prevent tragedies from occurring downstream is taught in many public health courses and is relevant for our dialogue on sexual violence prevention. It is presented as a catalyst for discussion and to convey how important it is to have strong teams along the river building safe passages.

The Centers for Disease Control and Prevention (CDC) could not begin to address sexual violence prevention without the years of hard work and dedication of survivors, advocates, prevention educators, and other professionals. Their efforts ensure the provision of crisis intervention, victim advocacy, and social and mental health services that are critical to the long-term well being of those affected by sexual violence. One of the tenets of the public health approach is building partnerships and identifying the strengths and expertise that partners offer to help frame solutions to a public health problem. CDC's niche is to be part of the team working at the top of the river: building safe passages and keeping people from being pushed into the river. The Rape Prevention and Education (RPE) grant program should be a major contributor to this effort. We also know that we are working in partnership with others along the river making sure that anyone who falls in will survive.

Purpose

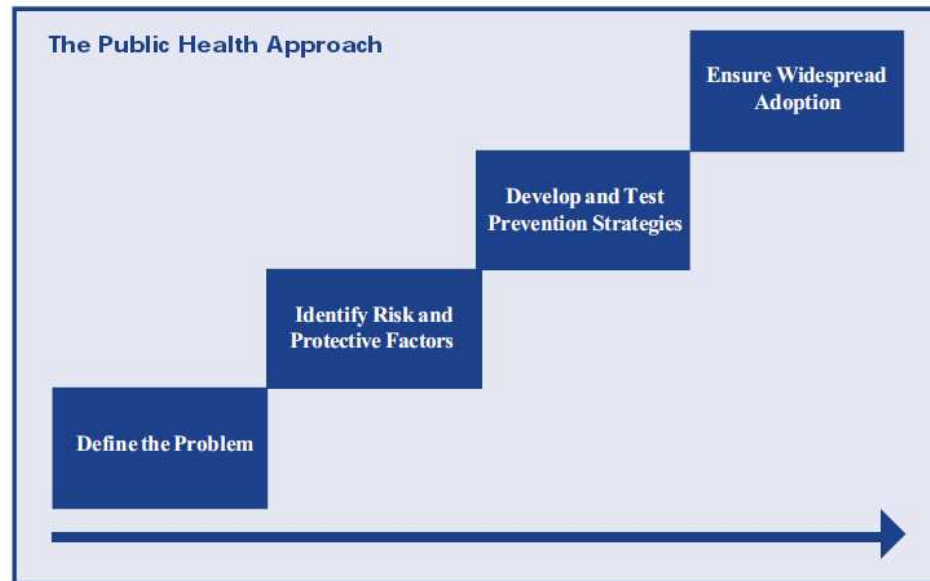
This document is intended to begin the dialogue about what it means to move upstream. Over the past few years — since CDC's Injury Center became the administrator of the RPE program — we have been asked repeatedly to define what we mean by "prevention." How does prevention look, and where should recipients of RPE funds focus their efforts and resources? Our working definition of sexual violence prevention for the RPE program is population-based and/or environmental and system-level strategies, policies, and actions that prevent sexual violence from initially occurring. Such prevention efforts work to modify and/or entirely eliminate the events, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence and associated injuries, disabilities, and deaths. Additionally, sexual violence prevention efforts address perpetration, victimization, and bystander attitudes and behaviors, and seek to identify and enhance protective factors that impede the initiation of sexual violence in at-risk populations and in the community.

CDC convened an internal working group to review theoretical frameworks and to define and describe prevention concepts and strategies that were compatible with the public health approach and would benefit entire communities affected by this issue. CDC also solicited input from advocates and others working in the sexual violence field (see inside front cover for the list of reviewers).

We would like RPE grantees to use these prevention concepts and strategies as a foundation for planning, implementing, and evaluating activities conducted with RPE funds. In addition, we would like RPE grantees to share this document and discuss its content with traditional and nontraditional partners, particularly those who work at the local level with communities. Discussions with key stakeholders and community leaders (including public health agency leadership) will also help build support for prevention activities.

The Public Health Approach to Prevention

As a recipient of RPE funds, you have probably heard us talk about the “public health approach” to sexual violence prevention. Similar to other disciplines, public health promotes specific principles as the foundation for work within the field. Four public health principles—health of the public, data-informed approaches, cultural competency, and prevention—are central to this document and to our ongoing discussion of sexual violence prevention.



Public health is ultimately concerned with approaches that address the health of a population rather than one individual. This is generally referred to as a population-based approach and is one of the principles that distinguishes public health from other approaches to health-related issues (e.g., medicine focuses on helping the individual). Based on this principle, a public health prevention strategy demonstrates benefits for the largest group of people possible, because the problem is widespread and typically affects the entire population in some way, either directly or indirectly. The public health approach also depends upon collective action (Krug, Dahlberg, Mercy, et al. 2002). It is a community-oriented approach that takes the onus from victims and advocates and encourages the entire community (women, men, and youth) to prevent sexual violence.

Data-informed, evidence-based approaches are also a central concept in the field of public health. According to this principle, all phases of program planning and implementation should be based on the best information available. Below are some examples of how data can be used in all four steps of the public health approach.

- **Define the Problem.** Data can provide answers to questions of how much sexual violence is happening, where it is happening, and who are the victims and perpetrators. Data sources may include the criminal justice system, emergency rooms, rape crisis centers, and general public surveys. These data can be used in many ways such as applying for resources, focusing the delivery of prevention programs, and tracking the success of various efforts over time.

- **Identify Risk and Protective Factors.** Findings from research studies can reveal some of the factors that may put people at risk for sexual violence perpetration and victimization or protect them from harm. Those who design sexual violence prevention programs can use this information to plan the content of their program by focusing on activities that address those risk and protective factors.
- **Develop and Test Prevention Strategies.** Data gathered from the experiences of practitioners working with various groups and through community assessments, stakeholder interviews, and focus groups may be useful for designing prevention programs that increase program acceptability among the intended audience. In addition, information gathered during program implementation can be used to document successful and unsuccessful implementation; demonstrate program accomplishments; and identify areas needing improvement. Promising programs and curricula should undergo rigorous evaluation before they are widely disseminated.
- **Ensure Widespread Adoption.** Once data supports an effective prevention strategy, the goal is to establish the prevention strategy as a standard in the field of sexual violence prevention. Prevention strategies known to be effective should be adopted and implemented in a variety of settings, and should replace ineffective strategies. Dissemination techniques that can promote widespread adoption and implementation of the new standards include training, networking, technical assistance, and process evaluation to assure fidelity. Dissemination should also include outcome evaluation to assess the effectiveness of strategies with new populations.

A key principle that cuts across all areas of the public health approach is cultural competency. It is essential that core activities such as collecting and analyzing data, designing and implementing programs, and determining what works be conducted within the context of the unique aspects of various populations and communities. Guidance from the population is key in the design, implementation, and evaluation of a prevention program. Also, simply translating the materials for a given intervention into a different language does not constitute a culturally-appropriate or relevant strategy as it does not address the different ways communities talk and think about sexual violence.

The concept of prevention is central to the field of public health. The remainder of this document focuses on prevention and how these public health principles can be applied to programmatic decision-making in the field of sexual violence.

Prevention: **WHEN** do we intervene?

Public health *interventions are often grouped into three prevention categories based on when the intervention occurs. Sexual violence interventions can be divided into the following three categories:

- **Primary Prevention:** Approaches that take place *before* sexual violence has occurred to prevent initial perpetration or victimization.
- **Secondary Prevention:** Immediate responses *after* sexual violence has occurred to deal with the short-term consequences of violence.
- **Tertiary Prevention:** Long-term responses *after* sexual violence has occurred to deal with the lasting consequences of violence and sex offender treatment interventions.

**In this document, "intervention" describes any prevention or service-related activity.*

While the major purpose of interventions that take place after violence has occurred is to reduce or ameliorate the negative effects of the violence, some of these approaches may have the advantageous effect of preventing a reoccurrence of violence. Categorizing prevention by WHEN an intervention occurs is a less than perfect fit when looking at violence, and therefore we often simplify this discussion by talking about interventions to prevent violence *before* it ever occurs and those that take place *after* violence has already occurred.

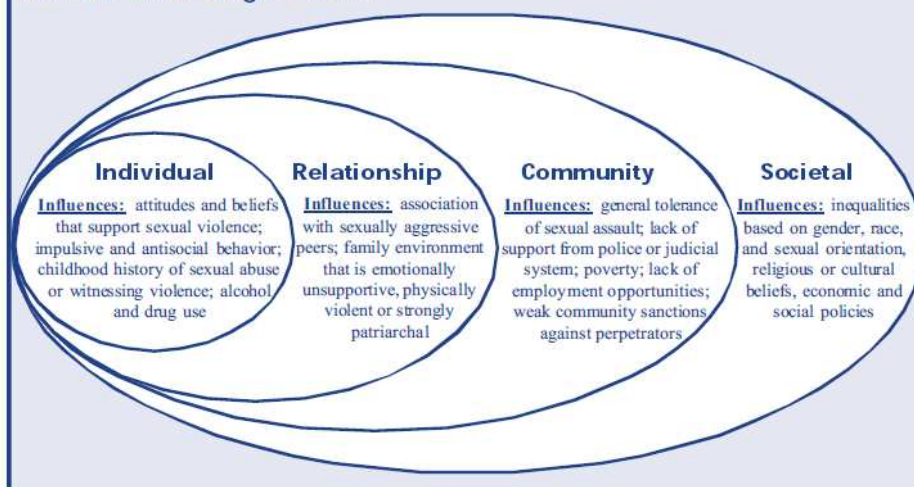
Prevention: WHAT is the focus?

To prevent sexual violence, we have to understand what circumstances and factors influence its occurrence. There are many different theoretical models that attempt to describe the root causes of sexual violence: biological models, psychological models, cultural models, and grassroots, feminist, power-based models. Each of these models contributes to a better understanding of sexual violence and helps experts build programs that sustain protective factors and reduce modifiable risk factors. The CDC working group (see inside front cover) chose to use an ecological model as part of the framework for our discussion because it allows us to include risk and protective factors from multiple domains. Thus, if there is evidence from psychological models about individual risk factors and from feminist models about societal risk factors, it can all be incorporated in the same ecological model. Building such a model offers a framework for understanding the complex interplay of individual, relationship, social, political, cultural, and environmental factors that influence sexual violence (Dahlberg and Krug 2002) and also provides key points for prevention and intervention (Powell, Mercy, Crosby, et al. 1999). We use the four-level ecological model presented in the *World Report on Violence and Health* for this discussion (Dahlberg and Krug 2002); however, there are a variety of ecological models that have been developed (see, for example, Heise 1998).

The examples in Table 1 illustrate the levels of the ecological model. The examples of risk factors are also taken from the chapter on sexual violence in the *World Report on Violence and Health* (Jewkes, Sen, Garcia-Moreno 2002) and are not a comprehensive list of risk factors for sexual violence perpetration. There is a lack of research on protective factors so no such examples are presented in the model.

- **Individual-level influences** are biological and include personal history factors that increase the likelihood that an individual will become a victim or perpetrator of violence. For example, factors such as alcohol and/or drug use; attitudes and beliefs that support sexual violence; impulsive and other antisocial tendencies; preference for impersonal sex; hostility towards women; and childhood history of sexual abuse or witnessing family violence may influence an individual's behavior choices that lead to perpetration of sexual violence (Dahlberg and Krug 2002). Interventions for individual-level influences are often designed to target social and cognitive skills and behavior and include approaches such as counseling, therapy, and educational training sessions (Powell et al. 1999).
- **Interpersonal relationship-level influences** are factors that increase risk as a result of relationships with peers, intimate partners, and family members. A person's closest social circle—peers, partners, and family members—can shape the individual's behavior and range of experience (Dahlberg and Krug 2002). Interventions for interpersonal relationship-level influences could include family therapy, bystander intervention skill development, and parenting training (Powell et al. 1999).

Table 1. The Ecological Model



- **Community-level influences** are factors that increase risk based on community and social environments and include an individual's experiences and relationships with schools, workplaces, and neighborhoods. For example, lack of sexual harassment policies in the workplace can send a message that sexual harassment is tolerated, and that there may be few or no consequences for those who harass others. Interventions for community-level influences are typically designed to impact the climate, systems, and policies in a given setting.
- **Societal-level influences** are larger, macro-level factors that influence sexual violence such as gender inequality, religious or cultural belief systems, societal norms, and economic or social policies that create or sustain gaps and tensions between groups of people. For example, rape is more common in cultures that promote male sexual entitlement and support an ideology of male superiority (Dahlberg and Krug 2002). Interventions for societal-level influences typically involve collaborations by multiple partners to change laws and policies related to sexual violence or gender inequality. Another intervention would be to determine societal norms that accept violence and to identify strategies for changing those norms (Powell et al. 1999).

The ecological model supports a comprehensive public health approach that not only addresses an individual's risk factors, but also the norms, beliefs, and social and economic systems that create the conditions for the occurrence of sexual violence.

Prevention: Integrating the WHEN and the WHAT

The following matrix provides examples of how interventions to prevent violence before it occurs, and interventions that take place after violence has happened, can be implemented across all levels of the ecological model. Distinguishing interventions by "before" and "after" violence has occurred serves to highlight the salient differences between the two approaches.

Table 2. The WHEN and WHAT Matrix

	Individual	Relationship	Community	Societal
Before	Implement and evaluate discussion groups among men that explore prevalent notions of masculinity and their relationship with sexual violence; healthy and respectful relationships; and men's role in preventing sexual violence.	Implement and evaluate a discussion group based intervention with male peer groups (e.g., fraternities, athletic teams) to change group norms that support and condone sexual harassment and violence. Men will learn to hold their peers accountable for attitudes and behaviors that support sexual violence.	Engage youth as agents of change to affect their school's climate of tolerance for sexualized bullying by leading classroom-based conversations and school-wide special events.	Assist in educating legislators about the importance of economic and educational policies that promote the economic status of women and reduce inequalities in employment.
After	Provide offender treatment services for perpetrators. Provide crisis intervention services for sexual assault survivors.	Provide services to family members of sexual assault survivors to assist them in resolving the impact of the assault and to help them be sensitive and supportive of the survivor.	Develop police protocols for responding to and investigating reports of sexual assaults. Hold "Take Back the Night" rallies to raise community awareness of the scope, nature, and impact of sexual violence.	Assist in educating legislators about the importance of mandatory legislation that ensures all survivors of sexual assault the provision of a forensic medical exam at no charge.

Prevention: WHO is it for?

Prevention strategies are often developed based upon the group for whom the intervention is intended. Using this type of differentiation, sexual violence interventions can again be divided into three categories:

- Approaches that are aimed at groups or the general population regardless of individual risk for sexual violence perpetration or victimization are called **universal** interventions. Groups can be defined geographically (e.g., entire school or school district) or by characteristics (e.g., ethnicity, age, gender).
- Approaches that are aimed at those who are thought to have a *heightened risk* for sexual violence perpetration or victimization are referred to as **selected** interventions.
- Approaches that are aimed at those who have already *perpetrated* sexual violence or have been *victimized* are called **indicated** interventions.

Prevention: Integrating the WHAT and the WHO

The following matrix demonstrates how universal, selected, and indicated approaches can be implemented across the ecological model. Comprehensive prevention programs are multifaceted and address multiple cells within the matrix. CDC acknowledges that some of the programs and services designed for victims may also prevent reoccurrences of victimization and perpetration. However, we still consider these activities “indicated” because the primary goal of many of these programs is to address the important need to prevent the short- and long-term negative consequences of the violence. As a primary goal, the public health community wants to prevent new incidents from occurring, so in keeping with this, we have provided some examples of strategies and activities for both universal and selected approaches within the ecological model.

It is important to note that the cells in the matrix are not isolated from one another and may overlap. For example, women could be defined as an entire population for a universal approach or as a high-risk group for a selected approach. Either approach could be appropriate, but the course of action taken should be based on data or other considerations outlined in “How to Make Programmatic Decisions about Prevention Approaches” on page 10.

Because this document is geared toward the RPE program, no examples for indicated approaches were included.

Table 3. The WHAT and WHO Matrix

NOTE: The example strategies in this matrix further describe prevention concepts and strategies. CDC looks forward to working with grantees to develop innovative and effective ways to prevent sexual violence that address individual, relationship, community, and societal influences for universal and selected populations.

	Individual	Relationship	Community	Societal
Universal	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact individual factors that increase the likelihood of being a victim or perpetrator of sexual violence (SV).</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Develop, implement, and evaluate a comprehensive, faith-based educational program with multiple sessions and clear outcomes that will teach people about sexual violence and dispel the rape myths, attitudes, and beliefs that condone SV. b) Evaluate and implement effective curriculum on dating and SV that is delivered to high school students in grades 9-12. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact factors that increase the risk of SV as a result of relationships with peers, intimate partners, and family members.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Develop, implement, and evaluate a program for little league coaches to build/develop skills to interrupt and address inappropriate comments and behaviors among athletes that promote a climate condoning bullying, sexual harassment and SV. b) Partner with a local PTA to develop, implement, and evaluate a skills-building program for parents to help them address attitudes and behaviors in their children that promote SV. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact community and social environments that increase the risk of SV.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Implement and enforce sexual harassment policies in schools, workplaces, and other institutions. b) Help communities implement environmental safety measures such as adequate lighting and emergency call boxes. This complements community education and enforcement of policies that prohibit inappropriate behavior such as stalking and threatening or coercing community residents. c) Hold annual meetings or press conferences to alert communities about the latest statistics on SV to rally support for prevention. 	<p>Approaches are aimed at <i>everyone</i> in the population of interest, regardless of risk, and are designed to impact the larger, macro-level factors that influence SV, such as gender inequality and religious, cultural, social, or economic factors.</p> <p><i>Example:</i></p> <ul style="list-style-type: none"> a) Conduct strategic planning activities with partners and policymakers using data from a variety of sources such as emergency rooms, crime reports, rape crisis centers, etc. to help determine where, when, and to whom prevention activities should be focused. b) Promote and enforce full implementation of the Title IX law. c) Establish and enforce policies for colleges and universities to accurately report SV on campus and provide rape prevention programs to students and staff.

	Individual	Relationship	Community	Societal
Selected	<p>Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact individual factors that increase the likelihood of victimization or perpetration.</p> <p>Example:</p> <p>a) Implement and evaluate a program for high school boys to address alcohol/drug use and the ability to give and receive clear consent for sexual activity. Multi-session, classroom-based, peer-led discussions with messaging reminders from peers or media (posters, PSAs, etc.) should be included.</p> <p>b) In partnership with an immigration and refugee center, develop, implement, and evaluate a culturally-appropriate awareness campaign for immigrants and refugees that dispels rape myths and the beliefs and attitudes that condone SV as they integrate into a community.</p>	<p>Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact factors that increase the risk of SV as a result of relationships with peers, intimate partners, and family members.</p> <p>Example:</p> <p>a) Implement and evaluate a program that addresses potentially high risk components of "Greek life," specifically fraternities where male-peer support for obtaining sex by facilitating intoxication (alcohol/drug) is acceptable.</p> <p>b) Implement and evaluate a skill-building program for parents of youth convicted of inappropriate sexual behavior to help them address attitudes and behaviors that promote SV.</p>	<p>Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact community and social environments that increase the risk of SV.</p> <p>Example:</p> <p>a) Develop, implement, and evaluate a program in neighborhoods with a high density of alcohol advertising and advertising that sexualizes/objectifies women to demand the removal of such advertising as a means of changing the social environment that supports sexual violence.</p> <p>b) Establish and enforce employee and volunteer screening and training policies for caregivers of persons with disabilities.</p>	<p>Approaches are aimed at those in the population at heightened risk for SV victimization or perpetration and are designed to impact the larger, macro-level factors that influence SV, such as gender inequality, and religious, cultural, social, or economic factors.</p> <p>Example:</p> <p>a) Work through mass media (PSAs, editorials, documentaries, insertion into programming, etc.) to promote societal norms that support prevention, endorse help seeking (treatment and counseling) behaviors, and lessen the stigma for individuals that identify themselves as being a potential perpetrator.</p> <p>b) Educate policymakers to support efforts that are designed to address and ameliorate the consequences of children's exposure to violence, including family violence, school violence, and youth violence (as part of an overall comprehensive sexual violence prevention plan).</p>

	Individual	Relationship	Community	Societal
Indicated	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact individual factors that increase the likelihood of re-victimization or re-perpetration.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact factors that increase risk of re-victimization or re-perpetration as a result of relationships with peers, intimate partners, and family members.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact community and social environments that increase the risk of re-victimization or re-perpetration.	Approaches are aimed at those in the population who are victims or perpetrators of SV and are designed to impact the larger, macro-level factors that influence the likelihood of re-victimization or re-perpetration, such as gender inequality, and religious, cultural, social, or economic factors.

Making Programmatic Decisions About Prevention Approaches

None of the categories presented within the matrix (i.e., the what and who of prevention) are superior to the others. In fact, each has its own advantages and disadvantages (Powell et al. 1999). Universal, selected, and indicated interventions all contribute to a comprehensive prevention strategy. However, CDC's strength lies in supporting universal and selected strategies focused on preventing sexual violence before it occurs. These strategies provide the maximum benefit for the largest number of people and work to modify and/or entirely eliminate the event, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence. Additionally, these prevention efforts identify and enhance protective factors that may prevent sexual violence in at-risk populations and the community at large. CDC decisions about the RPE program are guided by this prevention approach.

We all have limited resources and difficult decisions to make about which programs to implement. The following questions highlight some of the issues to consider when deciding where to focus your RPE program resources:

What are the mission and goals of the funding agency?

- If you are applying for funds to support prevention activities, certain types of prevention may be more or less suitable, depending on the mission of the funding agency. For example, criminal justice sanctions and offender treatment programs that focus on perpetrator accountability may be more appropriate for funds from an agency with a criminal justice mission. The public health approach to prevention focuses on improving the health of populations rather than a single individual. Therefore, as a public health agency, CDC is more likely to focus on universal and selected approaches with an emphasis on preventing sexual violence *before* it occurs.

Do the mission and goals of your agency support rape prevention and education?

- The compatibility of your organization's mission and goals with those of various funding agencies may drive your decisions about the types of grants and cooperative agreements for which you apply and for the types of prevention activities you plan to conduct.

Where are current resources being focused and where are the gaps?

- Resources for all levels of prevention are limited within the field of sexual violence prevention. Analyzing how federal, state, and local funds are allocated and used can show where the largest gaps exist within the matrix. At this time, the majority of federal and state funds are designated for indicated approaches—*after* the sexual violence has occurred. Funds that allow for universal and selected (“before”) approaches can provide a unique opportunity to develop a more comprehensive strategy and to focus on the problem “upstream.” (For example, rather than implementing a one time pre/post-tested training session geared towards children in schools, develop a more comprehensive systems approach to address school environments, policies and procedures, and behaviors and attitudes that support or condone sexual violence). At the current program level, priority is often given to secondary and tertiary approaches to violence prevention to provide much needed services to victims and to hold perpetrators accountable (Krug et al. 2002). While this focus is understandable because the human need is so great, it can leave a gap in primary/universal and selected approaches to prevention.

What do we know about who is at risk for sexual violence perpetration and who is vulnerable to sexual violence victimization?

- Research in the area of risk and protective factors for sexual violence is still evolving and does not yet offer specific strategies. However, some approaches are more appropriate than others, depending on who is at risk (Powell et al. 1999). If everyone is at equal risk, a universal approach is more appropriate. If a certain group has been accurately identified as the source of many or most new incidents of sexual violence, a selected approach may be more appropriate. For a synopsis of known risk factors, please refer to the *World Report on Violence and Health* (Krug et al. 2002).

What data are available to help you make decisions?

- One of the basic principles of the public health approach is to use data to make programmatic decisions. Data can come from a variety of sources including public health surveillance, research, and program evaluation.
- Do you have evaluation data for current programs or for those you plan to implement in the future? Evaluation data are a critical part of the program planning, development, implementation, and improvement cycle. These types of data ensure that you are accomplishing what you set out to do and that you know when a part of your program needs some improvement. It is important for programs to incorporate outcome data to evaluate efforts and to provide evidence that you are making a difference. Outcome data may also be helpful for garnering additional resources and support for your efforts.

Who are your partners?

- Sexual violence is a complex and multifaceted issue that requires a broad-based, multisystem response from a wide array of individuals, groups, and agencies. Because sexual violence affects all sectors of our communities, many groups and agencies are engaged in prevention efforts. As you look at the allocation of current resources and identify gaps, look for ways to partner with other groups and agencies to make limited resources go further, especially among those groups and organizations that represent and include members of underserved populations. Many states were able to develop broader, more comprehensive initiatives by partnering and sharing staff and other resources.

Are the programmatic activities permissible?

- Congress legislated that RPE grant funds may be used for the following seven permitted uses:
 1. Educational seminars
 2. Hotlines
 3. Training programs for professionals
 4. Informational materials
 5. Training programs for students and campus personnel designed to reduce the incidence of sexual assault at colleges and universities
 6. Education to increase awareness about drugs used to facilitate rape or sexual assault
 7. Other efforts to increase awareness in underserved communities and awareness among individuals with disabilities as defined in Section 3 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102).
- Given our discussion about the public health approach to prevention, states are encouraged to think broadly. They should consider implementing universal or selected interventions across the ecological model that are permissible program activities.

These are just a few of the issues that programs struggle with when making decisions. There are obviously other things to consider such as the cost of various programs; the level of evidence on effective approaches; the capacity of your organization to carry out various approaches; and your organization's access to and experience working with various populations, etc.

Summary

This initial discussion of public health approaches to sexual violence prevention lays the foundation for future dialogue about ways RPE programs can individually and collectively identify strategies and opportunities for maximizing the effectiveness of limited program funds. This dialogue could not begin without acknowledging the important and ground-breaking work of survivors, advocates, prevention educators, and other professionals who have worked tirelessly to bring the issue of sexual violence to the forefront. CDC places great value in developing partnerships and working creatively to move "upstream."

We know that prevention works through our experience in addressing other public health issues. The spectrum of sexual violence prevention is broad and multifaceted, and requires the skills and approaches from many disciplines and areas of expertise. Through the RPE program, CDC hopes to contribute to sexual violence prevention by promoting efforts to modify or eliminate the individual, relationship, community, and societal influences that result in perpetration, victimization, and bystander attitudes that allow sexual violence to occur. In particular, CDC seeks those efforts designed especially for general populations (universal efforts) or those at heightened risk (selected efforts) to ensure that the greatest number of people benefit from the prevention of sexual violence.

References

1. Dahlberg LL, Krug EG. Violence – a global public health problem. In: Krug EG, Dahlberg LL, Mercy JA, Zwi AB, Lozano R, editors. *World Report on Violence and Health*. Geneva (Switzerland): World Health Organization; 2002. p. 3-21.
2. Heise LL Violence against women: an integrated, ecological framework. *Violence Against Women* 1998;4(Pt 3), 262-90.
3. Jewkes R, Sen P, Garcia-Moreno C. Sexual violence. In: Krug EG, Dahlberg LL, Mercy JA, Zwi AB, Lozano R, editors. *World Report on Violence and Health*. Geneva (Switzerland): World Health Organization; 2002. p. 149-81.
4. Krug EG, Dahlberg LL, Mercy JA, Zwi AB, Lozano R, editors. *World Report on Violence and Health*. Geneva (Switzerland): World Health Organization; 2002.
5. Mercy JA, Rosenberg ML, Powell KE, Broome CV, Roper WL. Public health policy for preventing violence. *Health Affairs* 1993; 7-29.
6. Powell KE, Mercy JA, Crosby AE, Dahlberg LL, Simon TR. Public health models of violence and violence prevention. In: Kurtz LR, editors. *Encyclopedia of Violence, Peace, and Conflict*. Vol. 3. San Diego (CA): Academic Press; 1999:175-87.

Department of Health and Human Services
Centers for Disease Control and Prevention
National Center for Injury Prevention and Control
Division of Violence Prevention
www.cdc.gov/injury

APPENDIX 4: SAMPLE JOB DESCRIPTION FOR THE RPE PREVENTION COORDINATOR

The (name of agency) seeks a Prevention Coordinator for Rape Prevention and Education for full time employment. The Prevention Coordinator will be responsible for coordinating the activities associated with a state funded Rape Prevention and Education project.

Salary range: \$32,000-36,000 depending on experience. Other benefits: (list benefits allowed by your agency)

Qualifications:

Bachelor's degree in one of the following areas: education, sociology, anthropology, criminal justice, criminology, human services, social work, public health, counseling, communications, psychology or other related fields.

Bilingual speaker preferred in communities serving a significant number of people for whom English is the second language

Required

- Good written and interpersonal communication skills
- Strong organizational skills
- Flexibility and the ability to adapt to project needs
- Independent, self-motivated worker
- Has own transportation (car) for use to carry out job tasks
- Commitment to primary prevention of sexual violence
- Ability to work effectively as a team member
- Flexibility and willingness to work some evenings and weekends as needed
- Openness to learning new concepts and approaches
- Good computer skills

Preferred:

- Prior experience working in the field of sexual violence
- Basic understanding of public health principles
- Experience in community outreach/organizing/mobilization
- Experience in program planning and coordination
- Experience in training and presentations
- Experience in community assessment
- Experience with program evaluation

Activities

- Coordinate a community needs and resource assessment
- Develop a plan to address sexual violence prevention in the community
- Coordinate the implementation of sexual violence prevention strategies
- Oversee the evaluation of the sexual violence prevention strategies and other sexual violence prevention work
- Develop and nurture relationships with key individuals and organizations in the community
- Develop and oversee a community sexual violence prevention taskforce
- Maintain professional competency by attending trainings and accessing other mechanisms (e.g. technical assistance, online tutorials, reading articles etc) for developing new knowledge and skills associated with sexual violence prevention
- Report regularly to agency supervisor
- Submit all required reports and other documentation in a timely and complete manner

For further information, please contact:

APPENDIX 5: POTENTIAL ORGANIZATIONS, INITIATIVES, AND INDIVIDUALS TO CONSIDER INVITING TO BE A PART OF YOUR SEXUAL VIOLENCE PREVENTION TASK FORCE

1. Agencies/organizations and individuals with a specific interest in sexual violence

- North Carolina Coalition Against Sexual Assault (NCCASA)
- Local rape crisis center
- Members of your Sexual Assault Response Team (SART) team (with the understanding that this task force is focused on sexual violence *prevention* and NOT response)
- Law enforcement

2. Others who are doing prevention work in your community:

- Bully prevention groups
- Gang prevention groups
- Safe Schools
- Storefront clinics
- Dropout prevention groups
- Mothers Against Drunk Driving (MADD)
- Substance abuse prevention groups
- HIV/AIDS prevention organizations
- Teen pregnancy prevention organizations
- Injury prevention groups
- Planned Parenthood
- Child abuse prevention organizations
- Elder abuse prevention organizations
- Tobacco free schools initiatives

3. Others with an interest in public health or health

- School programs to reduce drinking
- Responsible fathers groups
- Susan G. Komen Breast Cancer Foundation
- NARAL
- Pre-natal care organizations
- Local Wellness Coalitions
- Healthy Carolinians

4. Others with an interest in your community

- Local businesses/ Chamber of Commerce
- Legislators
- Smart Start
- Media literacy groups
- Middle and high school staff

- Head Start
- Colleges and universities
- Members of the media
- Elected officials
- Boys and Girls Clubs

APPENDIX 6: SOURCES OF DATA FOR NEEDS STATEMENT

1. Probably the best place to start your search for secondary data (i.e., data that already exists) is NC-CATCH. <http://www.schs.state.nc.us/SCHS/catch/>. It is the portal for many other data sources both within our state and nationally. You might want to check not only population specific data but also the BRFSS (Behavioral Risk Factor Surveillance System) and the YRBS (Youth Risk Behavior Survey) which focus on data that describe behavior.
2. Most communities have done a county assessment that is quite useful. This can be accessed through your Healthy Carolinians Partnership, which exists in most but not all counties, or your local health department. It is most often referred to as “the county health assessment.”
3. For descriptions of the population not included in NC-CATCH, consult the national census data found at <http://www.census.gov>.
4. For information on the magnitude of the problem of sexual violence in your community, consider the following data: your own agency’s data, local or regional child advocacy center data, Uniform Crime Report, and hospital emergency room data. All of these sources have limitations so you might want to use a few sources to try to piece together a picture of the extent of the problem in your community.
5. Data from other agencies/organizations in your community (e.g., United Way, colleges/universities, regional planning council, local Chamber of Commerce, local community based organizations serving specific sub-populations in the community) can give important information not found elsewhere.
6. Data from other state agencies (e.g., Council for Women and Domestic Violence Commission (including statistics about usage of sexual assault services), Governor’s Crime Commission, North Carolina Coalition Against Sexual Assault (NCCASA), Office of Minority Health and Health Disparities (OMHHD), etc.) can also be useful.

ATTACHMENTS

OTHER REQUIRED DOCUMENTS

Attachment A: Letters of Specific Commitment or Statements of Support

Attachment B: Project Budget

ATTACHMENT B-1: BUDGET FORM

Sample Budget for RFA

Personnel	Annual Salary	% Paid in Contract	Total Salary Paid in Contract	Total Paid by RPE	(No Match Allowed for Personnel)	Project Budget Subtotal
Salaries						
RPE Coordinator Salary (1 FTE)		100.00%	\$0.00	\$0.00		\$0.00
Up to 10% of the RPE Coordinator Supervisor's		10.00%	\$0.00	\$0.00		\$0.00
Salary may be covered by RPE at the discretion						
of applicant						
Fringe Benefits	Annual Salary Paid by RPE	Fringe Benefit % of Salary	Total Fringe Benefit in Contract	Total Fringe Benefit Paid by RPE	(No Match Allowed for Fringe Benefits)	Project Budget Subtotal
RPE Coordinator Fringe						
FICA			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Executive Director Fringe						
FICA			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00
Fringe Benefit - Please Specify			\$0.00	\$0.00		\$0.00

Travel	# of miles or # of days	X cost per miles or day	X # of persons	Total Paid by RPE	Cash Match	In-Kind Match	Project Budget Subtotal
Local Mileage for Program Delivery		\$0.00		\$0.00			\$0.00
Mileage for Required Trainings/Grantee Meeting		\$0.00		\$0.00			\$0.00
Lodging for Required 3 Trainings*		\$0.00		\$0.00			\$0.00
Per Diem for Required 3 Trainings*		\$0.00		\$0.00			\$0.00
Lodging for Grantee Meeting**		\$0.00		\$0.00			\$0.00
Per Diem for Grantee Meeting**		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
Other Travel Expense - Please Specify		\$0.00		\$0.00			\$0.00
*For RPE Coordinator							
**For RPE Coordinator and Supervisor							
Other Operating Expenses	cost per unit	X # of staff	X # of units or # of months	Total Paid by RPE	Cash Match	In-Kind Match	Project Budget Subtotal
Other Operating Expenditure - RPE - Please Specify				\$0.00			\$0.00
Other Operating Expenditure - RPE - Please Specify				\$0.00			\$0.00
Other Operating Expenditure - RPE - Please Specify				\$0.00			\$0.00
Other Operating Expenditure - RPE - Please Specify				\$0.00			\$0.00
Other Operating Expenditure - RPE - Please Specify				\$0.00			\$0.00
Other Operating Expenditure - RPE - Please Specify					\$0.00		\$0.00

Other Operating Expenditure - RPE - Please Specify					\$0.00		\$0.00
Other Operating Expenditure - RPE - Please Specify					\$0.00		\$0.00
Other Operating Expenditure - RPE - Please Specify						\$0.00	\$0.00
Other Operating Expenditure - RPE - Please Specify						\$0.00	\$0.00
Other Operating Expenditure - Match - Please Specify						\$0.00	\$0.00
Other Operating Expenditure - Match - Please Specify							
Other Operating Expenditure - Match - Please Specify							
Other Operating Expenditure - Match - Please Specify							
Other Operating Expenditure - Match - Please Specify							
Other Operating Expenditure - Match - Please Specify					\$0.00		\$0.00
Other Operating Expenditure - Match - Please Specify					\$0.00		\$0.00
Other Operating Expenditure - Match - Please Specify					\$0.00		\$0.00
Other Operating Expenditure - Match - Please Specify						\$0.00	\$0.00
Other Operating Expenditure - Match - Please Specify						\$0.00	\$0.00
Other Operating Expenditure - Match - Please Specify						\$0.00	\$0.00
Grand Total					\$0.00	\$0.00	\$0.00

APPENDIX B-2: SAMPLE BUDGET

Sample Budget for RFA

Personnel	Annual Salary	% Paid in Contract	Total Salary Paid in Contract	Total Paid by RPE	(No Match Allowed for Personnel)		Project Budget Subtotal
Salaries							
RPE Coordinator Salary (1 FTE)	\$32,100.00	100.00%	\$32,100.00	\$32,100.00			\$32,100.00
Executive Director (.06 FTE)	\$43,500.00	6.00%	\$2,610.00	\$2,610.00			\$2,610.00
Fringe Benefits	Annual Salary Paid by RPE	Fringe Benefit % of Salary	Total Fringe Benefit in Contract	Total Fringe Benefit Paid by RPE	(No Match Allowed for Fringe Benefits)		Total Project Budget
RPE Coordinator Fringe		\$32,100.00					
Health Insurance		6.10%	\$1,958.10	\$1,958.10			\$1,958.10
401K		6.00%	\$1,926.00	\$1,926.00			\$1,926.00
FICA		7.65%	\$2,455.65	\$2,455.65			\$2,455.65
Unemployment Insurance		2.25%	\$722.25	\$722.25			\$722.25
Executive Director Fringe		\$2,610.00					
Health Insurance		6.10%	\$159.21	\$159.21			\$159.21
401K		6.00%	\$156.60	\$156.60			\$156.60
FICA		7.65%	\$199.67	\$199.67			\$199.67
Unemployment Insurance		2.25%	\$58.73	\$58.73			\$58.73
Travel	# of miles or # of days	X cost per miles or day	X # of persons	Total Paid by RPE	Cash Match	In-Kind Match	Project Budget Subtotal
Local Mileage for Program Delivery	868	\$0.55	1	\$477.40			\$477.40
Mileage for Required Trainings/Grantee Meeting	1250	\$0.55	N/A	\$687.50			\$687.50
Lodging for Required 3 Trainings*	3	\$71.40	1	\$214.20			\$214.20
Per Diem for Required 3 Trainings*	3	\$34.00	1	\$102.00			\$102.00
Lodging for Grantee Meeting**	1	\$71.40	2	\$142.80			\$142.80
Per Diem for Grantee Meeting**	1	\$34.00	2	\$68.00			\$68.00
*For RPE Coordinator							
**For RPE Coordinator and Supervisor							

Other Operating Expenses	cost per unit	X # of staff	X # of units or # of months	Total Paid by RPE	Cash Match	In-Kind Match	Project Budget Subtotal
Telephone / Internet	\$48.150	1	12	\$577.80			\$577.80
Program and Project Supplies	\$323.675	1	12	\$3,884.10			\$3,884.10
Office Supplies	\$50.000	1	12	\$600.00			\$600.00
Postage	\$25.000	1	12	\$300.00			\$300.00
Printing / Copying	\$50.000	1	12	\$600.00			\$600.00
Rent	\$50.000	1	12			\$600.00	\$600.00
Utilities	\$57.880	1	12		\$694.56		
Copier Lease	\$28.941	1	12		\$347.29		
Donated catering for six taskforce meetings	\$57.891	1	6			\$347.35	
Donated incentives for prevention participants	\$37.500	1	8			\$300.00	
Donated space for 6 task force meetings	\$35.133	1	6			\$210.80	
Grand Total				\$50,000.00	\$1,041.85	\$1458.15	\$52,500.00

**APPENDIX B-3: RAPE PREVENTION AND EDUCATION PROGRAM
SAMPLE BUDGET NARRATIVE JUSTIFICATION
Year 1 – 2009-2010**

**PERSONNEL
\$42,346**

Salaries

TBN, RPE Coordinator (include name, if known, and title in your narrative)
\$32,100.00

1 FTE, Annual Salary \$32,100.00

The RPE Coordinator works to: compile and analyze data/research for the prevention of sexual violence; strengthen/expand community collaborations; develop, publicize, and implement prevention education strategies in the community; create and implement process and outcome evaluation measures; recruit, plan, facilitate and sustain a prevention task force; remain current on trends and information obtained through research, subscribing to appropriate listservs, and reading current articles/ journals/books; develop and distribute county-wide assets/needs assessment (new applicants). The RPE Coordinator will focus more on quality of programming rather than quantity, as prevention programming must engage the community in multi-faceted strategies and utilize more in-depth approaches that seek to create lasting change. Ultimately, the RPE Coordinator will be a catalyst for change and is not expected to perform all aspects of every single prevention strategy implemented. Rather, the RPE Coordinator must engage and support members of the community to take ownership for planning, implementing, and sustaining prevention efforts to the extent possible. This position is not intended to work with or provide victim services. The RPE Coordinator is a 40 hour per week position with an annual salary of \$32,100.00 (monthly salary \$2,675.00); annual fringe benefits totaling 22% or \$7,062.00 are included.

TBN, Executive Director (include name and title in your narrative)
\$2,610.00

.06 FTE, Annual Salary \$43,500

The Supervisor meets weekly with the Coordinator to provide support and feedback for all aspects of Primary Prevention Coordination, and helps the Coordinator get connected with local resources as well as networking venues. The Supervisor reviews reports, looking for clarity, continuity, and any preliminary results that could indicate areas of successful prevention strategies. The Supervisor also attends all mandatory Annual Grantee Meetings and is available to attend other workshops and meetings, if requested. In addition, the Supervisor seeks potential community allies and resources. Six percent of her/his annual salary is requested;; fringe benefits totaling 22% (of the 6% level of effort) or \$574.20 are included.

** NOTE that the applicant may request up to 10% support for the supervisor*

Fringe Benefits

\$7,636.00

Fringe benefits of 22% are included for the salaries of the RPE Coordinator and Supervisor.

Fringe benefits:		RPE Coordinator	ED
Health Insurance	6.10%	\$1958.10	\$159.21
401(k)	6.00%	\$1926.00	\$156.60
FICA	7.65%	\$2,455.65	\$199.67
Unemployment Insurance	2.25%	\$ 722.25	\$ 58.73
Total	22.00%	\$7,062.00	\$574.21

TRAVEL

\$1,692

Mileage for Local Program Delivery: 930 miles x \$0.55 \$511.40

Mileage for 3 required trainings /

Grantee Meeting: 1250 miles x \$0.55 \$687.50

Lodging for RPE Coordinator at 3 required trainings:

\$71.40 (\$63.75 + \$7.65 { 12% state & local taxes } per person per night X 3 meetings) \$214.20

Meal Per Diem for RPE Coordinator at 3 required trainings:

D = \$16.75, B = \$7.50, L = \$9.75 X 3 meetings \$102.00

Lodging for RPE Coordinator & Supervisor at required Grantees Meeting:

\$71.40 (\$63.75 + \$7.65 { 12% state & local taxes } per person per night X 1 meeting) \$214.20

Meal Per Diem for RPE Coordinator & Supervisor at required Grantees Meeting:

D = \$16.75, B = \$7.50, L = \$9.75 X 1 meetings \$102.00

OPERATING EXPENSES

\$5,962

Telephone / Internet \$577.80

This average annual phone and internet costs for the agency are \$4,800.00. The RPE program will assume 12% of this at an average cost of \$48.15 per month.

Program and Project Supplies \$3,884.10

Program and Project Supply money will be used to purchase curricula, books, DVDs and other supplies for the prevention strategies at an average cost of \$323.675 per month.

Office Supplies \$600.00

This line item is for routine office supplies such as pens, paper, binder clips, staples, and supplies to create presentation materials (brochure paper, easels, poster board, etc.). It is estimated that these supplies will cost an average of \$50.00 per month.

Postage \$300.00

This line item represents the cost of postage including stamps and specialty carrier costs (UPS, FED EX). It is estimated that this will cost \$25.00 a month.

Printing / Copying \$600.00
This line item will cover the cost of printing / copying educational materials for trainings and general office copying. It is estimated that printing / copying will cost an average of \$50.00 per month.

Total RPE Budget Request: \$50,000

Match – Cash:

Utilities \$694.56

Agency will apply private foundation funds to provide utilities (electric/water) for the RPE Coordinator for an average monthly cost of \$57.880 per month or \$694.56 per year.

Copier Lease \$347.29

The agency will apply local United Way funds to pay for lease costs for a copier for use by the RPE Coordinator for an average monthly cost to the agency of \$28.941 per month or \$347.29 per year

Match – In-Kind:

Rent \$600.00

Agency will provide an office for the RPE Coordinator at an average monthly cost to the agency of \$50.00 per month or \$600 per year

Catering for 6 Taskforce Meetings \$347.35

A local caterer will donate snacks and beverages for 6 taskforce meetings for an average cost per meeting of \$57.891 per meeting or \$347.35 total

Incentives for Prevention Participants \$300.00

A local music store will donate incentives (posters, t-shirts, albums) for an average cost per participant of \$37.50 (up to 8 participants) in the prevention activity for a total of \$300.00

Donated space for Taskforce Meetings \$210.80

A task force member's agency will donate a large meeting room for the use of 6 task force meetings for an average cost to the agency of \$35.133 per meeting for a total of \$210.80

Total Match – Cash & In-Kind*: \$ 2,500

TOTAL BUDGET - RPE Request plus Required 5% Match: \$52,500

* NOTE: This sample budget is prepared with a 5% match, the required match for an applicant that did not receive funding during 2006-2009 funding period. Those applicants that did receive funding during 2006-2009 are required to prepare a budget that includes a 15% match.

Attachment C:

501 (c) (3) Letter (Private Non-Profit Agencies)

or

Document Verifying Legal Name (Public Agencies)

Not required if previously submitted to the Division of Public Health in response to general request for documentation made in January 2009.

Verification of 501 (C)(3) Status

We, the undersigned entity, hereby testify that the undersigned entity's 501 (c)(3) status, on file with the North Carolina Department of Health and Human Services, Division of Public Health, is still in effect.

Name of Agency

Signature of Chairman, Executive Director, or other authorized official

Title of above signed authorized official

Sworn to and subscribed before me this _____ day of _____, 2009.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

DHHS, DPH 12-1-08

N. C. Division of Public Health
RFA #A-181
April 1, 2009

Page 82 of 101

REVISED 12-20-07 (DPH Revised 10-24-08)

Attachment D: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Contracts

Not required if previously submitted to the Division of Public Health in response to general request for documentation made in January 2009.

ATTACHMENT D

[Print on Agency Letterhead]

**Letter from Board President/Chairperson Identifying
Individuals as Authorized to Sign Contracts**

I, _____, Board President/Chairperson of
_____ [Agency/Organization's legal name] hereby identify
the following individual(s) who is (are) authorized to sign Contracts for the organization/agency named above:

Printed Name	Title
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

_____ Signature	_____ * Title	_____ Date
--------------------	------------------	---------------

** Indicate if you are the Board President or Chairperson*

The fiscal year of the above named agency runs from months _____ to _____ .

DPH 12-1-08

Attachment E: Federal Certifications

(for reference only – not for signature)

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Department of Health and Human Services
Division of Public Health

Certification for Contracts, Grants, Loans and Cooperative Agreements

Public Law 103-227, Part C-Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity.

By signing and submitting this application, the Contractor certifies that it will comply with the requirements of the Act. The Contractor further agrees that it will require the language of this certification be included in any subawards which contain provisions for children's services and that all subgrantees shall certify accordingly.

Signature

Title

Agency/Organization

Date

Certification Regarding Lobbying
Department of Health and Human Services
Division of Public Health

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal, state or local government agency, a Member of Congress, a Member of the General Assembly, an officer or employee of Congress, an officer or employee of the General Assembly, an employee of a Member of Congress, or an employee of a Member of the General Assembly in connection with the awarding of any Federal or state contract, the making of any Federal or state grant, the making of any Federal or state loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal or state contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal, state or local government agency, a Member of Congress, a Member of the General Assembly, an officer or employee of Congress, an officer or employee of the General Assembly, an employee of a Member of Congress, or an employee of a Member of the General Assembly in connection with the awarding of any Federal or state contract, the making of any Federal or state grant, the making of any Federal or state loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal or state contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.
- (4) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Notwithstanding other provisions of federal OMB Circulars A-122 and A-87, costs associated with the following activities are unallowable:

Paragraph A.

- (1) Attempts to influence the outcomes of any Federal, State, or local election, referendum, initiative, or similar procedure, through in kind or cash contributions, endorsements, publicity, or similar activity;
- (2) Establishing, administering, contributing to, or paying the expenses of a political party, campaign, political action committee, or other organization established for the purpose of influencing the outcomes of elections;
- (3) Any attempt to influence: (i) The introduction of Federal or State legislation; or (ii) the enactment or modification of any pending Federal or State legislation through communication with any member or employee of the Congress or State legislature (including efforts to influence State or local officials to engage in similar lobbying activity), or with any Government official or employee in connection with a decision to sign or veto enrolled legislation;
- (4) Any attempt to influence: (i) The introduction of Federal or State legislation; or (ii) the enactment or modification of any pending Federal or State legislation by preparing, distributing or using publicity or propaganda, or by urging members of the general public or any segment thereof to contribute to or participate in any mass demonstration, march, rally, fundraising drive, lobbying campaign or letter writing or telephone campaign; or
- (5) Legislative liaison activities, including attendance at legislative sessions or committee hearings, gathering information regarding legislation, and analyzing the effect of legislation, when such activities

are carried on in support of or in knowing preparation for an effort to engage in unallowable lobbying. The following activities as enumerated in Paragraph B are excepted from the coverage of Paragraph A:

Paragraph B.

- (1) Providing a technical and factual presentation of information on a topic directly related to the performance of a grant, contract or other agreement through hearing testimony, statements or letters to the Congress or a State legislature, or subdivision, member, or cognizant staff member thereof, in response to a documented request (including a Congressional Record notice requesting testimony or statements for the record at a regularly scheduled hearing) made by the recipient member, legislative body or subdivision, or a cognizant staff member thereof; provided such information is readily obtainable and can be readily put in deliverable form; and further provided that costs under this section for travel, lodging or meals are unallowable unless incurred to offer testimony at a regularly scheduled Congressional hearing pursuant to a written request for such presentation made by the Chairman or Ranking Minority Member of the Committee or Subcommittee conducting such hearing.
- (2) Any lobbying made unallowable by subparagraph A (3) to influence State legislation in order to directly reduce the cost, or to avoid material impairment of the organization's authority to perform the grant, contract, or other agreement.
- (3) Any activity specifically authorized by statute to be undertaken with funds from the grant, contract, or other agreement.

Paragraph C.

- (1) When an organization seeks reimbursement for indirect costs, total lobbying costs shall be separately identified in the indirect cost rate proposal, and thereafter treated as other unallowable activity costs in accordance with the procedures of subparagraph B.(3).
- (2) Organizations shall submit, as part of the annual indirect cost rate proposal, a certification that the requirements and standards of this paragraph have been complied with.
- (3) Organizations shall maintain adequate records to demonstrate that the determination of costs as being allowable or unallowable pursuant to this section complies with the requirements of this Circular.
- (4) Time logs, calendars, or similar records shall not be required to be created for purposes of complying with this paragraph during any particular calendar month when: (1) the employee engages in lobbying (as defined in subparagraphs (a) and (b)) 25 percent or less of the employee's compensated hours of employment during that calendar month, and (2) within the preceding five-year period, the organization has not materially misstated allowable or unallowable costs of any nature, including legislative lobbying costs. When conditions (1) and (2) are met, organizations are not required to establish records to support the allowability of claimed costs in addition to records already required or maintained. Also, when conditions (1) and (2) are met, the absence of time logs, calendars, or similar records will not serve as a basis for disallowing costs by contesting estimates of lobbying time spent by employees during a calendar month.
- (5) Agencies shall establish procedures for resolving in advance, in consultation with OMB, any significant questions or disagreements concerning the interpretation or application of this section. Any such advance resolution shall be binding in any subsequent settlements, audits or investigations with respect to that grant or contract for purposes of interpretation of this Circular; provided, however, that this shall not be construed to prevent a contractor or grantee from contesting the lawfulness of such a determination.

Paragraph D.

Executive lobbying costs. Costs incurred in attempting to improperly influence either directly or indirectly, an employee or officer of the Executive Branch of the Federal Government to give consideration or to act regarding a sponsored agreement or a regulatory matter are unallowable. Improper influence means any influence that induces or tends to induce a Federal employee or officer to give consideration or to act regarding a federally sponsored agreement or regulatory matter on any basis other than the merits of the matter.

Signature

Title

N. C. Division of Public Health
RFA #A-181
April 1, 2009

Page 88 of 101

Agency/Organization

Date

DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF PUBLIC HEALTH

CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY
AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of the fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant will provide immediate written notice to the person to which the proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter any lower tier covered transaction with a person who is debarred, suspended, determined ineligible or voluntarily excluded from participation in this covered transaction unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency of which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized in paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred,

ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension, and/or debarment.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature

Title

Agency/Organization

Date

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

Department of Health and Human Services Division of Public Health

- I. By execution of this Agreement the Contractor certifies that it will provide a drug-free workplace by:
- A. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the Contractor's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - B. Establishing a drug-free awareness program to inform employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Contractor's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - C. Making it a requirement that each employee be engaged in the performance of the agreement be given a copy of the statement required by paragraph (a);
 - D. Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the agreement, the employee will:
 - (1) Abide by the terms of the statement; and
 - (2) Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
 - E. Notifying the Department within ten days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction;
 - F. Taking one of the following actions, within 30 days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
 - (1) Taking appropriate personnel action against such an employee, up to and including termination; or
 - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; and

Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

II. The site(s) for the performance of work done in connection with the specific agreement are listed below:

1. _____
(Street address)

(City, county, state, zip code)

2. _____
(Street address)

(City, county, state, zip code)

Contractor will inform the Department of any additional sites for performance of work under this agreement.

False certification or violation of the certification may be grounds for suspension of payment, suspension or termination of grants, or government-wide Federal suspension or debarment, 45 C.F.R. 82.510.

Signature

Title

Agency/Organization

Date

Attachment F: Letter from Board President/Chairperson Identifying Individual(s) Authorized to Sign Expenditure Reports

Not required if previously submitted to the Division of Public Health in response to general request for documentation made in January 2009.

ATTACHMENT F

[Print on Agency Letterhead]

**Letter from Board President/Chairperson
Identifying Individuals as Authorized to Sign
Contract Expenditure Reports**

I, _____, Board President/Chairperson of
_____ [Agency/Organization's legal name] hereby identify
the following individual(s) who is (are) authorized to sign Contract Expenditure Reports for the
organization/agency named above:

Printed Name	Title	Signature
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

_____ Signature	_____ * Title	_____ Date
	* <i>Indicate if you are the Board President or Chairperson</i>	

Attachment G: Notarized Conflict of Interest Policy

(Private Non-Profits Only)

Not required if previously submitted to the Division of Public Health in response to general request for documentation made in January 2009.

Attachment G

Notarization of Conflict of Interest Policy

State of North Carolina, County of _____

I, _____, Notary Public for said County and State, certify that

[Name of Board Chair or Authorized Official] personally
appeared before me this day and acknowledged that he/she is _____
[Title] of _____ [Agency/Organization's full legal
name] and by that authority duly given and as the act of the Organization, affirmed that the foregoing Conflict of
Interest Policy was adopted by the Board of Directors/Trustees or other governing body in a meeting held on the
_____ day of _____, _____.

Sworn to and subscribed before me this _____ day of _____, 2009.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

Instruction for Organization:

- Sign and attach the following pages after adopted by the Board of Directors/Trustees or other governing body,
or
- replace the following with the current adopted Conflict of Interest Policy.

Legal Name of Organization

Signature of Organization Official

DHHS August 2007, DPH 12-1-08

N. C. Division of Public Health
RFA #A-181
April 1, 2009

REVISED 12-20-07 (DPH Revised 10-24-08)

Conflict of Interest Policy

The Board of Directors/Trustees or other governing persons, officers, employees or agents are to avoid any conflict of interest, even the appearance of a conflict of interest. The Organization's Board of Directors/Trustees or other governing body, officers, staff and agents are obligated to always act in the best interest of the organization. This obligation requires that any Board member or other governing person, officer, employee or agent, in the performance of Organization duties, seek only the furtherance of the Organization mission. At all times, Board members or other governing persons, officers, employees or agents, are prohibited from using their job title, the Organization's name or property, for private profit or benefit.

A. The Board members or other governing persons, officers, employees, or agents of the Organization should neither solicit nor accept gratuities, favors, or anything of monetary value from current or potential contractors/vendors, persons receiving benefits from the Organization or persons who may benefit from the actions of any Board member or other governing person, officer, employee or agent. This is not intended to preclude bona-fide Organization fund raising-activities.

B. A Board or other governing body member may, with the approval of Board or other governing body, receive honoraria for lectures and other such activities while not acting in any official capacity for the Organization. Officers may, with the approval of the Board or other governing body, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. Employees may, with the prior written approval of their supervisor, receive honoraria for lectures and other such activities while on personal days, compensatory time, annual leave, or leave without pay. If a Board or other governing body member, officer, employee or agent is acting in any official capacity, honoraria received in connection with activities relating to the Organization are to be paid to the Organization.

C. No Board member or other governing person, officer, employee, or agent of the Organization shall participate in the selection, award, or administration of a purchase or contract with a vendor where, to his knowledge, any of the following has a financial interest in that purchase or contract:

1. The Board member or other governing person, officer, employee, or agent;
2. Any member of their family by whole or half blood, step or personal relationship or relative-in-law;
3. An organization in which any of the above is an officer, director, or employee;
4. A person or organization with whom any of the above individuals is negotiating or has any arrangement concerning prospective employment or contracts.

D. **Duty to Disclosure** — Any conflict of interest, potential conflict of interest, or the appearance of a conflict of interest is to be reported to the Board or other governing body or one's supervisor immediately.

E. **Board Action** — When a conflict of interest is relevant to a matter requiring action by the Board of Directors/Trustees or other governing body, the Board member or other governing person, officer, employee, or agent (person(s)) must disclose the existence of the conflict of interest and be given the opportunity to disclose all material facts to the Board and members of committees with governing board delegated powers considering the possible conflict of interest. After disclosure of all material facts, and after any discussion with the person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

In addition, the person(s) shall not participate in the final deliberation or decision regarding the matter under consideration and shall leave the meeting during the discussion of and vote of the Board of Directors/Trustees or other governing body.

F. **Violations of the Conflicts of Interest Policy** — If the Board of Directors/Trustees or other governing body has reasonable cause to believe a member, officer, employee or agent has failed to disclose actual or possible conflicts of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose. If, after hearing the person's response and after making further investigation as warranted by the circumstances, the Board of Directors/Trustees or other governing body determines the member, officer, employee or agent has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

G. **Record of Conflict** — The minutes of the governing board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have an actual or possible conflict of interest, the nature of the conflict of interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement that presents a possible conflict of interest, the content of the discussion, including any alternatives to the transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Approved by:

Legal Name of Organization

Signature of Organization Official

Title of Organization Official

Date

DHHS August 2007, DPH 12-1-08

N. C. Division of Public Health
RFA #A-181
April 1, 2009

Page 98 of 101

REVISED 12-20-07 (DPH Revised 10-24-08)

Attachment H: Certification of No Overdue Taxes

**(Non-Public Entities - financial assistance
contracts)**

**Not required if previously submitted to the Division of Public Health in
response to general request for documentation made in January 2009.**

Attachment H

[Print on Agency Letterhead]

State Grant Certification – No Overdue Tax Debts¹

To: State Agency Head and Chief Fiscal Officer

Certification:

We certify that the _____
[Agency/Organization's full legal name] does not have any overdue tax debts, as defined by **N.C.G.S. 105-243.1**, at the federal, State, or local level. We further understand that any person who makes a false statement in violation of **N.C.G.S. 143C-6-23(c)** is guilty of a criminal offense punishable as provided by **N.C.G.S. 143-34(b)**.

Sworn Statement:

_____[Name of Board Chair] and
_____[Name of Second Authorizing Official] being duly sworn,
say that we are the Board Chair and _____ [Title of Second
Authorizing Official], respectively, of _____
[Agency/Organization's full legal name] of _____ [City] in the State of
_____[State]; and that the foregoing certification is true, accurate and complete to the best of
our knowledge and was made and subscribed by us. We also acknowledge and understand that any misuse of State
funds will be reported to the appropriate authorities for further action.

_____ Signature	_____ Board Chair Title	_____ Date
--------------------	-------------------------------	---------------

_____ Signature	_____ Title of Second Authorizing Official	_____ Date
--------------------	---	---------------

Sworn to and subscribed before me this _____ day of _____, 2009.

Notary Signature and Seal

Notary's commission expires _____, 20 ____.

¹ G.S. 105-243.1 defines: "Overdue tax debt – Any part of a tax debt that remains unpaid 90 days or more after the notice of final assessment was mailed to the taxpayer. The term does not include a tax debt, however, if the taxpayer entered into an installment agreement for the tax debt under G.S. 105-237 within 90 days after the notice of final assessment was mailed and has not failed to make any payments due under the installment agreement."

Attachment I

Indirect Cost Rate Approval Letter

(required if RFA allows for Indirect Costs in Attachment B – budget)